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ABSTRACT

This manual was developed to assist the members of the Network of Alabama Academic Libraries in the library collection assessment that is now required by the Alabama Commission on Higher Education as a component of any proposal that an institution submits for new program review and approval. This assessment component considers the ability of the library to support the new program and, if necessary, identifies the steps required to attain adequacy in specific subject areas. The manual presents four different methodologies for assessing the collection: (1) compiling statistics; (2) list checking; (3) citation analysis; and (4) expert appraisal. Collection level codes developed by the Research Libraries Group, the American Library Association, and a coordinated collection development program in Indiana are provided for use in describing the collection, and suggestions for preparing the assessment report are offered. References are provided at the end of various sections in addition to the 36-item bibliography. Eight appendices include additional guidelines and information sources as well as sample reports. (EW)

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NAAL

Network of Alabama Academic Libraries

Collection Assessment Manual

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NETWORK OF ALABAMA ACADEMIC LIBRARIES

COLLECTION ASSESSMENT MANUAL

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NETWORK OF ALABAMA ACADEMIC LIBRARIES
Alabama Commission on Higher Education
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FOREWORD

Each academic institution in Alabama exists to serve the needs of its community of users: students, faculty, researchers. The growth of knowledge in the twentieth century and increased demands for new fields of study have required the creation of new academic programs to meet these needs. Consequently, libraries have had to expand greatly their collecting practices to capture the breadth and depth of information required for existing and new programs.

In 1985, the Alabama Commission on Higher Education enlarged the requirements for the library component of the proposal that each institution must submit for new program review and approval. This component includes an assessment of the ability of the library to support the new program and, if necessary, identifies steps to attain adequacy in the specific subject areas. One benefit of this requirement is the opportunity for the library faculty and the departmental faculty to work together to insure that students will be best served. Another benefit for the library faculty is the opportunity to learn more about existing collections and to gain a better understanding of the literature of each discipline. The process of assessment allows the library faculty to determine the existing collection strength and to develop policies that will achieve and sustain the desired collection level.

The Network of Alabama Academic Libraries (NAAL), a consortium of seventeen academic institutions, includes cooperative collection development in its program objectives. To assist its members, the Network has prepared guidelines for completing the library component of the new program proposal. Success in completing these assessment reports enhances staff skills and develops uniformity in assessment methodology that will strengthen the future cooperative collection development plans of NAAL.

A Collection Development Committee, representative of the NAAL membership, was appointed to develop this manual. The members of the committee, both library directors and collection development officers, brought considerable expertise to the task. In addition, the committee used existing published works and outside professional expertise for its work.

After the manual was developed for new program proposals, two additional applications for the assessment methodologies were noted. First, the manual has been used in part as a guide by institutions undertaking the five-year cycle of review of existing programs. Second, the manual has been used by NAAL members to provide the assessment information required by NAAL in the writing of collection development proposals. Therefore, while the manual was written initially to describe assessment methodologies for new program proposals, it has a broader application.

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Appreciation is extended to the Research Libraries Group, Inc. (RLG) and to the Resources and Technical Services Division (RTSD) of the American Library Association for permission to reproduce materials developed by them. The Research Libraries Group, Inc., generously gave permission to quote from, or for incorporation of, its collection-level descriptions, supplementary guidelines, and reproduction of the verification study summaries in this manual. RTSD gave permission to reproduce the "Information On Price Indexes" which had been developed for its San Antonio conference on collection management. In addition, RTSD gave permission to reproduce the draft materials for collection description codes from the work of the committee that is revising its Guidelines for Collection Development.

The work of Dr. Paul Spence, Collection Development Officer of the Mervyn H. Sterne Library of the University of Alabama at Birmingham, and Mr. Robert Gibbs, Assistant University Librarian for Reference and Information Services of Auburn University Libraries, who chaired the Collection Development Committee for NAAL, was invaluable. Dr. Spence served as the first chairman and demonstrated great patience in shaping the committee's work and in overseeing the development of the first draft of the manual. In succeeding Dr. Spence, Mr. Gibbs inherited final editing of the manual for publication and a host of other projects in which he has ably led the committee toward fulfillment.

Finally, appreciation is extended to the academic institutions and research libraries that are members of NAAL for their support and active participation in NAAL:

General Members:

Alabama A&M University

Alabama State University

Auburn University

Auburn University at Montgomery

Birmingham Southern College

Jacksonville State University

Livingston University

Samford University

Spring Hill College

Troy State University

Tuskegee University

University of Alabama

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Redstone Arsenal Scientific Information Center

CHAPTER 1

COLLECTION DEVELOPMENT FOR NEW PROGRAMS

Collection development is a planning function that is necessary for the systematic building of library collections. A relatively new specialty in library science, it includes activities typically related to planning:

1. Establishing mission and policy statements,
2. Describing existing conditions,
3. Reviewing strengths and weaknesses,
4. Considering external and internal factors and trends,
5. Setting goals,
6. Developing strategies to meet goals, and
7. Evaluating success in meeting goals.

The definition of collection development usually includes such traditional functions as selection, acquisition, assessment, gifts and exchange, conservation, preservation, and weeding. It may also be extended to include cooperative collection development activities through both formal and informal resource sharing efforts.

This manual focuses on the planning activities needed for collection assessment: reviewing strengths and weaknesses, developing goals, and developing strategies to meet goals. It was developed specifically to assist

Alabama's librarians, subject bibliographers, collection development officers, and other assessors prepare the library component required by the Alabama Commission on Higher Education (ACHE) as part of new program proposals. The library component evaluates whether or not an existing collection adequately supports a proposed program's goals and, if not, outlines what needs to be done to insure that it will. If a collection cannot adequately support the proposed program, the Commission may set conditions that it be made adequate prior to final approval of the program.

The Network of Alabama Academic Libraries (NAAL) Collection Assessment Manual describes a number of techniques which have proven useful in systematic collection assessment and presents a plan for completing the assessment. While originally intended to provide guidance for assessments supporting new program proposals, it also has application for institutional review of existing programs and for proposals undertaken for the NAAL collection development program. Further, the manual provides guidance in analyzing assessment data, establishing collection development policies, and for presenting final reports of assessment findings.

The newly-appointed assessor should have no difficulty applying the measurement techniques and procedures outlined in the manual. Assessment is a complex process that is not easily codified nor quantified; the measurements are not an end in themselves. The most valuable asset a newly-

appointed or experienced assessor can bring to the process is professional judgment. It is to the analysis and interpretation of the data that the librarian brings expertise gained from knowledge and experience with library collections and users. The assessment procedure will provide the data to support the professional librarian in the decisions necessary to answer the questions which lie at the heart of the library component of the new program proposal:

1. What is the existing collection strength?
2. What is the desired collection strength?
3. How can the library attain the desired level?

One outcome of the process of assessment will be an initial step toward a collection development policy for the subject under review. The assessment activities will clarify a number of issues to define the scope of the collection and determine materials to be added to sustain the collection at the desired level. This initial work can be incorporated into the library's collection development policy.

CHAPTER 2

PLANNING THE ASSESSMENT

Each public academic institution in Alabama engaged in planning for a new program of study must file a proposal for approval by the Alabama Commission on Higher Education. ACHE has established a calendar for this process which requires submission of "new program proposals" followed by submission of "implementation reports." From the beginning of the process in the institution through the filing of the implementation report, there is ample time for the library staff to complete the assessment for the library component of the proposal.

The library component of the new program review provides an in-depth evaluation of the existing collection with a determination of its scope, depth, and quality. Preparation of the library component report has several stages: data collection, interpretation of data, and report writing. Careful planning of the entire process will insure a thorough, systematic assessment that fully meets ACHE's requirements as well as the library's needs for collection development.

Because the institution is proposing a new program, it is highly unlikely that the library assessment will find the collection adequate to support the new curriculum. The library may draw on collections supporting complementary

programs but will most likely find deficiencies which must be corrected. This is entirely appropriate because the materials for the new program would have been out of scope under the institution's existing curriculum and the library's collection policies.

Adequate planning for the assessment can insure its completion in a reasonable time period and with minimum disruption of other library functions. During planning, a number of decisions can be made to facilitate actual data collection and analysis. A sample work form, the Assessment Planning Form, is included in the manual which is intended for the use of the assessor in planning the assessment. This form is not part of the documentation submitted to ACHE, but the Assessment Planning Form will help record systematically the information needed during the assessment. Using the form should also help the assessor in discussions with the faculty of the department proposing the new program. These discussions will be critical in clarifying exactly how the program is to be supported by the library and in determining the exact parameters for the subject area to be evaluated.

Who does the assessment?

In most libraries, the assessor will be designated from staff assigned ongoing responsibilities for the development and maintenance of the subject area under review. Job titles for this staff position may vary; the critical factor is involvement in collection development to insure knowledge

of the field and familiarity with the patterns of scholarly publication. Some libraries use a task force with various activities assigned to several staff members. If this latter style is used, one person should have designated responsibility for overall coordination with responsibility for meeting deadlines and completing the assessment.

Library administrators may realize that the skills to undertake an assessment may not exist in current staff. Further, the time to carry out a thorough assessment may not be available in conjunction with ongoing job responsibilities. In light of plans for coordinated collection development among the Alabama academic institutions, the skill for collection assessment and management needs to be developed in existing staff or sought in new staff. Job descriptions and time allocations must be developed that will reflect an ongoing responsibility for assessment as a regular part of the academic library program.

The library staff completes the library component, but it must be coordinated with the department proposing the new program. The departmental faculty will probably be the single most useful resource in planning the assessment. It is important that good channels of communication be established and maintained from the preliminary proposal through the final proposal stages.

How long will it take?

The time and effort needed for an assessment will vary with the field under investigation and with the expertise of the assessor. An experienced assessor with good knowledge of the collection and discipline will certainly require less time than an inexperienced assessor. An interdisciplinary program will require more time than a single discipline. If a team approach is selected, additional time may be required for communication and coordination among team members. Time will be required for initial consultations and for discussion of results with the faculty of the department proposing the program. Finally, the assessment methodology selected can affect the amount of time required.

In general, budget between 25 and 40 hours with allowances made for the various factors that can affect the process. Blaine Hall at Brigham Young University estimates that clerical staff can check about one citation per minute in the card catalog. He also estimates that fifteen hours would be required to create a 300-item sample list.[1] A typical estimate might be professional time--30 hours, clerical time--8 hours. This would include time for planning, analysis, and report writing as well as time for data collection. Librarians preparing assessments for the Research Libraries Group have estimated that 40 hours are

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[1]Blaine H. Hall. Collection Assessment Manual for College and University Libraries. (Phoenix: Oryx Press, 1985), p. 5.

needed to complete a subject area in the RLG Conspectus. If each library estimates time needed from the very first assessment done and checks against actual time used, an accurate scale to use for time estimates will be developed.

Are there any background reading materials?

In the past several years, there has been an increased emphasis on collection development and this has resulted in a variety of excellent publications. The bibliography in this manual highlights background reading that every assessor should review before starting. Two essential publications are Guidelines for Collection Development[2] and Manual for the North American Inventory of Research Library Collections.[3]

Guidelines for Collection Development is currently being revised to reflect the work of the Research Libraries Group in collection assessment. In the current edition, the recommended codes for describing collection levels and their definitions differ from the level codes established for the RLG Conspectus. However, the new edition will incorporate much of the same language being used by RLG. The draft text for the collection code descriptions is included in Chapter 4 of this manual. An excellent outline of the collection

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[2]David L Perkins. Guidelines for Collection Development. (Chicago: American Library Association, 1979).

[3]Jutta Reed-Scott. Manual for the North American Inventory of Research Library Collections. (Washington, D.C.: Association of Research Libraries, 1985).

assessment process, Guidelines for Collection Development describes in detail the methodologies mentioned in this manual. The appendices include a list of the LC classifications used for the National Shelflist Count, a list of citations and descriptions for various formulas, and an extensive bibliography.

The Manual for the North American Inventory of Research Library Collections describes a methodology for completing an assessment which is based on the RLG Conspectus. It details the collection level codes and describes how an assessment should be implemented. This manual is essential for NAAL members developing the library component report for a new program proposal.

What needs to be done to complete an assessment report?

Martin Faigel, collection development officer at the University of Alabama, has outlined the procedures needed to complete a library component report:

1. Consult with the department about the program. Obtain proposed program documents and course syllabi.

2. Analyze these in terms of new demands on the library to decide whether the program adds an entirely new discipline or changes an academic degree level for an existing program. (This is fundamental in determining what portions of the collection need to be surveyed).

3. Review any existing collection development policies which apply to the subject area(s). Write a surrogate collection development policy statement for the subject, completing as much as possible on program scope and emphasis, related existing programs and resources, characteristics of the literature, audience, and any difference in library needs by type or levels of user, relevant LC and/or Dewey classes, and the desired collecting intensity levels for these classes or subsets of classes.

4. Consult with faculty and other librarians to select the evaluative method(s).

5. Select the bibliographies (for list checking), source documents (for citation analysis), and/or consultant (for expert appraisal).

6. Identify personnel to conduct the survey. Train staff in specific techniques as needed, provide them with an overview of the process and its goals and objectives in order to elicit cooperation in what may be a project filled with drudgery.

7. Prepare worksheets and forms for recording survey results, as needed.

8. Establish a timetable.

9. Conduct the evaluation.

10. Analyze survey results, including estimated one-time and ongoing costs.

11. Write the full report.

Assessment Planning Form

During the assessment process a great deal of information will be collected. The NAAL Collection Development Committee has developed an Assessment Planning Form to assist the assessor in organizing this information. This form is intended for the use of the assessor and is not part of the documentation submitted with a program proposal. The form organizes information about the assessment and details the strategy for undertaking the work.

Each element of the form is described below.

1. Date Assessment Due.--A new program proposal can be filed with ACHE in January of each year. Implementation reports are filed with ACHE the following January. Institutions develop new program proposals well in advance of these deadlines and may call for the library component at any time. It will be helpful to establish with the department a date when the library component will be due. Be sure that enough time is allowed for the completion of the library component.

2. Name of Program and Department.--This may be a working name or the final name under which the proposal will be submitted. It may or may not reflect accurately the subjects to be evaluated, but it is the initial description for the program. Record the name of the department for reference.

3. Department Contact Person.--It is helpful to have a contact person designated by the department to answer questions as they arise. This person should be familiar with details of the proposed program.

ASSESSMENT PLANNING FORM

1. Date Assessment Due:_____
2. Name of Program and Department:_____
3. Department Contact Person:_____
4. Goals and Objectives of the Program:_____

5. Description of Courses to be Offered (attach):

6. Level of Instruction:

7. Collection Subject Areas (Use LC and/or Dewey Classification numbers along with subject descriptors):

8. RLG Conspectus Level Desired: 0 1 2 3 4 5

9. Language(s) and/or other formats:

10. Assessment Methodology(ies) Selected:

11. Space/Facilities Needs:

12. Staff Needs:

13. Cooperative Arrangements:

14. Estimate of library resources needed to complete the assessment:

15. Proposed Start Date:

4. Goals and Objectives of the Program.--Each new program proposal and implementation report submitted to ACHE must clearly define the goals and objectives of the new program. This information can help establish the desired collecting level for the collection, any special materials or formats which may be required, and emphasis of the program for collecting purposes. It should also help outline the needs of users who will be relying on the collection.

5. Description of Courses to be Offered.--If this information is available, it can help define the limits of the collection that will support the new program. Course titles are often too broad; actual course descriptions can help refine the subject areas broadly stated in the overall goals and objectives. If available, attach a copy to the Assessment Planning Form.

6. Level of Instruction.-- The degree offered in the program will influence the desired collection level For a doctoral level program, the assessor may want to consider the background and research interests of the faculty as another factor in determining collection limits. Different considerations may be given to thesis or non-thesis programs at the master's degree level.

7. Collection Subject Areas.--The names of new programs do not always translate readily into subject descriptors used by librarians. The actual collection used to support a program may draw from many areas. If possible, describe the collection using LC or Dewey classification numbers and descriptors. This will be helpful in conducting shelflist counts of titles and in locating numbers of titles published in the field. Where possible, use subject categories from the RLG Conspectus which assist in identifying topics scattered by LC. In future years, this will enable Alabama libraries to compare collections through the instrument adapted from the RLG Conspectus. Be careful to identify any unclassified materials (such as government documents, major microforms, recordings, A-V formats, machine-readable databases, software) which may not be included in the catalog of library materials.

8. RLG Conspectus Level Desired.--The RLG Conspectus is briefly described in this manual. Before starting the assessment, carefully review the Manual for the North American Inventory of Research Collections, the collection level codes, and any available discipline-specific supplemental guidelines. Then, select the level of desired collection intensity that matches the level of the program being offered.

9. Language(s) and Other Formats.--If assessment and collection building policies will be affected by the inclusion of special materials in the collection, this should be noted in detail. Reliance on conference proceedings, patents, government documents, or materials in languages other than English can have impact on the assessment methodology selected and on the evaluative judgments to be made. The RLG collection level codes include codes for language but not for other factors such as geographic coverage or materials in non-print formats. These variations should be noted.

10. Assessment Methodology.--An important decision made by the assessor will be the selection of a methodology or methodologies that will be used to collect the information required for an evaluative judgment. In addition, the data collection process should provide sufficient information for correcting any collection weaknesses and establishing cost estimates to meet the desired collection intensity.

11. Space and Facilities Needs.--Assessors generally do not include facilities in an assessment directed strictly toward collection evaluation. There may be special circumstances, however, where space restrictions will affect the collection development plan. For instance, if the collection will not fit into a small department library, if the subject areas are housed in several locations and cannot be unified, or if additional space will be needed for such items as audio-visual equipment, the assessor will want to note these. If facilities for the collection will have impact on the program, then space needs should be included in the library component report.

12. Staff Needs.--Staffing needs are also an optional factor for the library component report. However, if there is a clear need for additional staff in order to make these materials accessible, the assessor may want to state this in the report. Note: Staff time can be reported as part of a full-time equivalent (FTE).

13. Cooperative Arrangements.--Resource sharing enables libraries to rely on access rather than ownership for some materials. If the assessor plans to include other collections in the evaluation, these should be identified along with the procedures through which access to these collections will be provided.

14. Library Resources Needed to Complete the Assessment.--Conducting an assessment can be time consuming, and it is easy to underestimate the contributions of staff and the time it will take to complete it. This is especially true if scheduling problems occur. It will be helpful to detail what staff assistance and other resources will be needed and to schedule them in advance of the actual assessment.

15. Proposed Start Date.--Record the scheduled starting date to insure the assessment is completed on time. The assessor takes into consideration the schedules of staff involved and the project work load.

Completing the planning phase of an assessment essentially establishes the calendar. Staff can be scheduled and the deadlines will not seem so formidable. The assessor may also want to note when the institution plans to file the completed proposal with ACHE, when ACHE's recommendation will be received, and if approved, when the new program will start. This information can be helpful in anticipating when funds for the new program will be available so that additions can be made to the collection and in knowing when students will be expecting to use the materials.

For Further Reading

Faigel, Martin. "Methods and Issues in Collection Evaluation Today," Library Acquisitions: Theory and Practice 8 (1984): 65-76.

Hall, Blaine H. Collection Assessment Manual for College and University Libraries. Phoenix: Oryx Press, 1985.

Magrill, Rose Mary and Doralyn J. Hickey. Acquisitions Management and Collection Development in Libraries. Chicago: American Library Association, 1984.

Mosher, Paul H. "Collection Evaluation in Research Libraries: The Search for Quality, Consistency, and System in Collection Development," Library Resources and Technical Services 23 (Winter 1979): 16-32.

Mosher, Paul H. "Collection Development to Collection Management: Toward Stewardship of Library Resources," Collection Management 4 (Winter 1982): 41-48.

Perkins, David L. Guidelines for Collection Development. Chicago: American Library Association, 1979.

Reed-Scott, Jutta. Manual for the North American Inventory of Research Library Collections. Washington, D.C.: Association of Research Libraries, 1985.

Two surveys of the literature related to collection management have been published and are useful for background information:

Nisonger, Thomas E. "An Annotated Bibliography of Items Relating to Collection Evaluation in Academic Libraries, 1969-1981," College and Research Libraries 43 (July 1982): 300-311.

Wiemers, Eugene, et al. "Collection Evaluation: A Practical Guide to the Literature," Library Acquisitions: Theory and Practice 8 (1984): 65-76.

CHAPTER 3

METHODOLOGIES FOR ASSESSING THE COLLECTION

Collection assessment methodologies are described as either collection-centered or user-centered. Collection-centered methodologies measure the collection against ideals and focus on numbers of items, such as volumes held. User-centered methodologies focus on the patron use of a collection and may rely on actual use (circulation or interlibrary loans, for example) or on patron perceptions of how adequately the collection serves needs (patron use surveys, for example). Because an assessment to meet ACHE's requirements is for a collection in support of a new program for which there may not be an established user group, the methodologies discussed in this chapter are collection-centered: compiling statistics, list checking, citation analysis, and expert appraisal. Compiling statistics, list checking, and citation analysis yield quantifiable data which must be analyzed and interpreted. While expert appraisal may appear more subjective, it draws on these methodologies and is no less valid than other techniques. All of the described techniques help quantify the data needed for judging the level of the collection to support the curriculum. Even with the aid of these quantifiable techniques, analysis and interpretation remain a professional judgment.

Use of Statistics in an Assessment

Most of the assessment techniques draw on statistical sampling. The assessor will need to know how to determine a sample size, use a random number table, and create a sample. A basic statistics textbook can explain this procedure. Herbert Arkin's Handbook of Sampling for Auditing and Accounting contains excellent chapters on "Selecting the Sample"[4] and "Determining Sample Size."[5] A "Table of Random Numbers" for 120,000 numbers and a series of tables that provide sample sizes for various population sizes are included in the appendices of the book.[6] A valuable resource for the library staff in developing the sampling procedures will be other faculty who have expertise in statistics. Most will be glad to assist in developing the sampling procedures.

Large samples do not necessarily mean greater accuracy. For example, a population of 1,000 citations might require a sample of about 170 items while a much larger population of 500,000 items might only require a sample of about 300 citations. Try to develop a sample that will meet at least a 95% confidence level but not one that is so large it becomes unmanageable to complete all the checking. In

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[4]Herbert Arkin. Handbook of Sampling for Auditing and Accounting. 2d. ed. (New York: McGraw-Hill, 1974): 18-24.

[5]Ibid., 74-100.

[6]Ibid., 219.

addition, it is possible to select a sample by drawing every "nth" item (every 4th, 10th, for example) rather than use a random number table.

In some subject areas, methodologies resulting in quantifiable data may be readily available. In others, data collection may have to rely solely on subjective judgment. The assessor will have to determine what methodology or combination of methodologies will result in sufficient data for analysis. And finally, it falls to the professional judgment of the assessor to determine what interpretation will be placed on the data collected and what report of collection level will be made.

Selecting An Assessment Methodology

The assessor should have an accurate understanding of the collection subject area to be evaluated in order to chose the appropriate assessment methodology. Initial consultations with the department should help define the limits of the new program. Once a broad understanding of the field has been reached, the assessor should describe the characteristics of the literature in the field. Questions that need to be asked include:

1. What are the trends for scholarly publication?
2. Does the field rely on monographs, serials, proceedings, etc.?
3. Does it have a geographical or chronological emphasis?
4. Does the field rely on primary and/or secondary sources?

5. What is the relationship of older materials to current research needs?

6. Is there an emphasis on special formats, such as non-print media, documents, software, databases, etc.?

Some of this information may be obtained from a guide to the literature of the field (if one exists), interviews with faculty members and/or subject bibliographers, or may be drawn from the assessor's own experience. The characteristics of the literature can help in selection of the assessment methodology. If a good guide exists, it may be the ideal tool for list checking. A citation analysis may be needed if no suitable list exists or if reliance is primarily on serials. A very broad, general field or a new, emerging field of study may be best evaluated by an expert consultant.

Methodology 1: Compiling Statistics

Every library keeps statistics which can be used in an assessment. Statistics readily available may include such measures as:

1. Gross size counting total volumes or titles;

2. Category size by counting holdings by areas such as monographs, serials, or other formats; or

3. Growth size which would measure the rate of growth by counting volumes or titles added annually and volumes or titles weeded annually.

In addition, some libraries have completed statistics for such projects as the National Shelflist Count. This project measures the shelflist to determine the number of titles held by academic libraries for very specific LC or Dewey classification ranges.

As a minimum the library component report must include the number of monograph and serial titles in the collection supporting the proposed program. Libraries with automated systems may be able to obtain gross size and shelflist counts from their system. If the assessment must establish shelflist counts manually, the procedures developed for the National Shelflist Count are recommended. This requires a sample of the shelflist to establish an average number of titles per millimeter. The procedure used for the National Shelflist Count project is described in Appendix A.

If statistics for collection size are not available, gross statistics for collection size can be estimated with the following procedure:

1. Determine the LC or Dewey classification numbers used for the collection being evaluated.

2. Measure the shelflist in each of the classification numbers. Measure and record in millimeters.

3. Multiply the average number of titles per millimeter times the millimeters measured for the collection. The collection size (C) equals the average number of titles per millimeter (T) times the number of millimeters (M):

$$C = T \times M.$$

Note: If there are only a few titles in a classification you may want to count rather than measure them.

The National Shelflist Count statistics are being compiled by the Resources and Technical Services Division of the American Library Association. When published, this report will give the shelflist count data for a number of academic libraries and can be used to compare gross size of

collections with institutions offering similar programs. The shelflist count says little about quality but is a rough comparison for size of collections.

Comparisons of Acquisition Rates

Consider using the Voigt formula[7] to establish an acquisitions rate for collecting current materials. The Voigt formula for acquisition rates can be used to estimate the needed number of acquisitions of currently published items and this rate can be compared to actual acquisitions. The formula model was designed for "general universities with extensive advanced graduate (Ph.D.) programs in a definable and broad array of fields."[8] This formula also provides a means to estimate the budget amount needed to sustain the collection at the desired level.

Comparisons with Numbers of Titles Published

If the library has available the numbers of titles added by subjects and/or classifications being assessed, these can be compared to the annual scholarly publication in the subject fields. The Bowker Annual of Library & Book Trade Information[9] reports statistics for the numbers of titles published in subject categories. The broad subject

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[7]Melvin J. Voight. "Acquisition Rates in University Libraries," College & Research Libraries 4 (July 1975): 263-271.

[8]Ibid., 266.

[9]Bowker Annual of Library & Book Trade Information (New York: R. R. Bowker, published annually).

categories and the inclusion of titles not suitable for an academic library limit the usefulness of this statistic for comparison.

Several companies offering approval plans for academic libraries provide management reports with similar statistics about the rates of scholarly publication and cost data such as net cost and average cost per volume. In an approval plan, a library vendor supplies books on approval to the institution. The institution keeps those it wishes to purchase. Carefully constructed profiles of the institution's collecting policy enable the company to select which books will be sent on approval. Since the vendors handle a broad range of scholarly materials for their various customers, they are able to collect statistics related to the level of scholarly publication in many fields. Each company usually offers the information about the rate of scholarly publication along with cost data at no charge to libraries participating in their approval plan programs.

The approval plan management reports provide timely information on the publication of scholarly titles in a given subject or subjects. In general, these reports list the number of titles selected for treatment in the approval plan program. The listing may be arranged under a variety of subjects, in more detail than in the Bowker Annual, and may include average list price data as well. These reports should be used carefully since profiles for each plan may

include materials not suitable for the specific subject under review and this may affect the applicability of the statistics. If sufficient in-house data exists, the assessor can use the reports to gauge the level of acquisitions made by the library. This can be expressed as a percentage of available publications, e.g., the library acquired 65 percent of the scholarly materials published in the field in a given year. In addition, several years of reports may be used to determine level of publishing in a field. These numbers can be projected to future years and used to arrive at an estimated rate of publication and estimated cost to maintain the collection at the desired level. Appendix B contains a description of the management reports offered by Blackwell North America and Baker and Taylor. A management report is also available from Ballen.

Analysis of Data

Absolute numbers do not, by themselves, reveal anything about quality. If a library has been carefully selected and maintained, the assumption is that a larger collection has a greater likelihood of including a higher number of desirable items. Absolute numbers can be compared to other library collections or with the library itself for longitudinal studies. Caution should be taken in interpreting such comparative data, however, since classification practices vary among libraries and even in the same library over time.

The analysis of the data will depend on its intended use in the written report. Another factor will be how varied

the field is in terms of the ranges of classification numbers used for it. The number of titles reported may be compiled into one total for the entire field or may be maintained as separate counts for each subfield. The assessor will need to decide which statistic will be most useful in the written report.

Additional analyses in appraising adequacy which require counting and compiling statistics might include: the relative age of materials held in the collection, percent of growth of the collection, or completeness of serial runs. For age of the collections, the assessor should evaluate the recency of imprints held in the collection. For percent of growth, the assessor will need to know the number of titles added and withdrawn each year. For completeness of serial runs, the assessor will need to know the number of volumes in a complete set and the number held by the library.

Methodology 2: List Checking

List checking is commonly used for evaluating library collections. List checking is time-consuming and tedious but is a widely accepted methodology for assessing quality of the collection relative to the quality of the list used. The advantages and disadvantages can be summarized:

Advantages:

1. There are a number of available comprehensive and specialized lists.
2. Lists are often backed by the authority of expert selectors and/or editors.
3. Many lists are updated regularly.
4. A list can be compiled to meet an immediate assessment need if a published, up-to-date, authoritative list does not exist.
5. The techniques for list checking are easy to administer and can be carried out by clerical or student personnel.
6. The results of list checking provides information that can be used for acquisitions to strengthen the collection.

Disadvantages:

1. A list may have been used as a selection aid and should not be used for evaluation.
2. Lists may be biased by the opinion of the expert selector or editor and may not reflect accurately the curriculum needs of the new program.
3. Lists may not be up-to-date and recommended titles may be out-of-date or superseded by better works.
4. Lists developed in-house require a great deal of time and expertise to compile.
5. List checking is tedious and time-consuming.
6. Equally good or better works may be in the collection but not included on the selected list. Limiting an assessment to one or more lists reveals nothing about holdings that are not on the list.

Types of Lists

Many types of lists are available. The department proposing a new program is an excellent resource for identifying an appropriate list. The department may recommend a particular list that best represents its curriculum goals. Subject bibliographers in other libraries may have suggestions and the NAAL director can assist in identifying a suitable list. Most lists may be classified into one of several types.

Standard Bibliographies and Basic General Lists.--Standard bibliographies such as Books for College Libraries[10] and Guide to Reference Books[11] have been used widely as buying guides and evaluative checklists. Most of these bibliographies recommend holdings for a basic undergraduate library and would be useful for assessing a program proposed for undergraduates. While these are updated regularly, care must be exercised in noting later works which supersede any editions in the bibliography.

Bibliographic Guides.--There are numerous bibliographic guides which list the standard titles that form a core collection. Two examples are the Encyclopedia of Geographic Information Sources[12] and the Guide to the Literature of Art

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[10] Books for College Libraries. 2d ed. (Chicago: American Library Association, 1975).

[11] Sheehy, Eugene P. Guide to Reference Books. 10th ed. (Chicago: ALA, 1986).

[12] Encyclopedia of Geographic Information Sources. 3rd ed. (Detroit: Gale, 1978).

History.[13] Other guides are listed in Guide to Reference Books and its supplements.[14]

Catalogs of Important Collections.--Libraries with outstanding and distinguished collections in certain fields often allow the publication of their catalogs. These collections include a depth and breadth that is probably most suited to evaluation at the research level. The printed catalogs generally reproduce the catalog cards and may include author, title, and subject access points. Care must be taken in analyzing a percentage as a measure of adequacy, since most of these collections represent intensive, scholarly collecting in a narrow subject and will not include acquisitions past the publication date of the catalog. Two examples are the Catalogue of the Harvard University Fine Arts Library, the Fogg Art Museum[15] and the Dictionary Catalog of the Whitney M. Young, Jr. Memorial Library of Social Work.[16]

Publisher's Lists.--Publishers often provide lists arranged by subject of their current titles. These are not evaluative and merely reflect what is available from a

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[13]Guide to the Literature of Art History. (Chicago: American Library Association, 1980).

[14]Sheehy.

[15]Harvard University. Catalogue of the Harvard University Fine Arts Library, the Fogg Art Museum. (Boston: G. K. Hall, 1971).

[16] Columbia University. Dictionary Catalog of the Whitney M. Young, Jr. Memorial Library of Social Work. (Boston, G. K. Hall, 1980).

particular publishing house. Some publishers jointly prepare lists which may appear more selective but in reality are not. In addition, reprint publishers may publish titles in a reprint series selected from a given subject. For example, the Da Capo Press distributes a publisher's catalog titled Reprints of Music Classics. This catalog of a single publisher lists items the publisher has selected for reprint and for sale. The quality of these lists varies. Some reprint publishers work with editorial boards or expert consultants to make available the best works in a field. Others may reprint titles without regard for quality. Another catalog, published annually for the American Library Association conference exhibits, includes titles selected by publishers from their currently available titles. The Publisher's Book Exhibit appears to be a selective list, but the criterion for inclusion is simply that the books are currently for sale.

Current Lists Selected for Various Reasons.--Lists of best books of the year, award-winning books, or books selected for a variety of other reasons are available. The usefulness of this kind of list is limited by the selection criteria as well as by how well the purpose matches the curriculum needs of the new program. One example is "Outstanding Academic Books and Nonprint Materials" published annually in the May issue of Choice.

Lists of Periodicals.--The bibliographic guides and standard lists for some fields include recommended

periodicals. Some periodical lists are available and may be arranged by one of several sequences: titles held by a library; titles kept and bound; titles by subject, language, region or other category; or titles covered by indexing or abstracting services. Lists drawn from an existing library collection are only as good as the collection they represent. Lists developed by expert selectors and/or editors are as authoritative as the list creators. Some lists are authoritative and can be used as evaluation tools while others must be used with care or not at all.

The standard bibliography for serials, Ulrich's International Periodicals Directory,[17] should be used with caution. Ulrich's is inclusive and does not evaluate quality. Many titles listed under a subject are not appropriate for an academic library. However, Magazines for Libraries.[18] is an evaluative list that identifies major titles in a subject. Because of limited coverage, the subjects available may not always match the definition of the collection being assessed.

The Science Citation Index Journal Citation Report[19] ranks journals by the number of citations to them that have

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[17]Ulrich's International Periodicals Directory. (New York: Bowker, biennial).

[18]Bill Katz and Linda Sternberg Katz, eds. Magazines for Libraries. 5th ed. (New York: Bowker, 1986).

[19]Science Citation Index Journal Citation Report. (Philadelphia: Institute for Scientific Information, annual).

appeared in journal articles. These rankings are developed from the Institute for Scientific Information publications, Science Citation Index[20] and Social Science Citation Index,[21] and the database, Arts and Humanities Citation Index. The Journal Citation Report reflects only gross numbers of citations and is subject to bias where self-citation is practiced. The reports reflect wide usage and may not reflect local usage. There may not be a correlation between published citation counts and local use.

The lists of periodicals indexed in a major indexing or abstracting service have been used as an assessment tool. Examples include Education Index,[22] Sage Urban Studies Abstracts,[23] and Metallurgical Transactions.[24] To be an effective evaluation tool, the list should be selective. Further, no guidelines exist to determine what percentage of the total number of indexed titles a library should hold.

Authorized Lists.--Core collections or recommended titles lists are prepared by some accrediting organizations,

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[20]Science Citation Index. (Philadelphia: Institute for Scientific Information, bimonthly with annual cumulation).

[21]Social Science Citation Index. (Philadelphia: Institute for Scientific Information, issued three times a year).

[22]Education Index. (New York: H.W. Wilson, monthly except July and August).

[23]Sage Urban Studies Abstracts. (Beverly Hills: Sage Publications, quarterly).

[24]Metallurgical Transactions. (London: Institution of Metals, monthly).

professional associations, and governmental agencies. These lists are primarily buying guides for a basic, core collection but may also serve as checklists to determine eligibility for accreditation. The assessor should check with the department to determine if such a list exists--to use either for evaluation or for a buying guide if accreditation will be sought. The Alabama Commission on Higher Education will help identify the appropriate accrediting organization and help determine if a core list has been published by it. Appendix C contains a list of accrediting organizations.

In-House Lists.--If a suitable list cannot be identified, the assessor may create an in-house list. Such a list should be developed in consultation with the department proposing the new program and, if possible, with the advice of a subject bibliographer for the field.

Procedures for List Checking

In order to select an appropriate list (or lists) for the evaluation of a collection, the assessor needs to know the characteristics of the literature of the field. It is helpful to consult with the faculty of the department and jointly determine a suitable list. The assessor needs to be as accurate as possible in delineating a list that reflects the curriculum needs of the new program. A critical judgment will be made by the assessor in considering lists that marginally match the subject area being evaluated. The quality of the assessment using this methodology can only be as high as the quality of the list used.

The ideal list used should parallel the categories used to describe the characteristics of the literature. Its citations should reflect diversity among:

1. Monographs:

    a. Retrospective and current materials
    b. Primary sources
    c. Secondary sources
    d. Standard sets
    e. Classics and critical editions
    f. Reference works

2. Serials:

    a. Monograph series
    b. Journals
    c. Newspapers
    d. Indexing/abstracting services

3. Other Printed Materials:

    a. Dissertations
    b. Technical Reports
    c. Patents
    d. Government Documents
    e. Proceedings

4. Other Formats:

    a. Audio-visual materials
    b. Realia
    c. Maps
    d. Kits
    e. Software
    f. Machine-readable databases

If the selected list is not available in the assessor's library, it can usually be obtained from another NAAL member on interlibrary loan. If the list may be used later as a buying guide, it may be helpful to own a copy that can be marked lightly in pencil.

The assessor can choose between checking 100% of a list or drawing a random sample. If the list is short (less than several hundred entries) or is to be used as a buying guide,

the entire list should be checked. If the list is extensive and will not be used as a buying guide (or if time is short), a random sample can be used.

The actual checking of the list against the library holdings can be done by clerical or student assistants if they have had sufficient training. Guidelines should be developed in advance of the actual checking to determine when the library's holdings match the citations. Training should include the decisions relative to accepting later editions, reprints, critical editions, variations in imprint, and so forth. There should be some professional supervision and checking of work in progress to insure accuracy and efficiency.

An important consideration in list checking for serials is the completeness of the data it yields. A list identifies the recommended serials titles and the methodology should allow judgments relative to accessibility through indexing and abstracting services, availability of backfiles, and completeness of runs. If list checking is used for serials holdings, the assessor should evaluate both <u>accessibility</u> and <u>availability</u>. Accessibility evaluates the degree of coverage of serials titles in indexes and abstracts, including ownership of these reference tools by the library. Availability evaluates the completeness of holdings for titles indexed and the exhaustiveness of the library's backfiles.

The assessor should also check the availability of serials in off-campus locations and through resource sharing arrangements. This is especially important if new titles will be added, or have been added recently, without backfiles being acquired. The North Alabama Union List of Serials[25] lists holdings for over 15,000 serial titles in 58 Alabama libraries. Additions are being made to the list to expand its coverage to include holdings from libraries throughout the state.

Analysis of Data

The results of list checking are usually reported as percentages supplemented by the number of titles on the list and the number held by the library. Neither the raw numbers nor the percentages, by themselves, reveal anything about quality or adequacy. The assessor must interpret the results in terms of the goals and objectives for the new program, collection level desired, and types of materials needed. The results may be displayed as tables or incorporated into the text.

Consulting with the faculty to discuss the relevance and usefulness to the new program of titles not held may be valuable in developing conclusions from the data. The faculty may want to stress current acquisitions over retrospective holdings, serials over monographs (or just the

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[25] The North Alabama Union List of Serials. (Huntsville: Alabama Library Exchange, 1987).

opposite). Their preferences in how the collection will be used by their students and for their own research can affect the conclusions drawn for the new program proposal and for the policies that will govern additions to the collection.

Example of a Table Resulting from List Checking

TABLE 1

HARTFORD SCIENCE LIBRARY
RESULTS OF COLLECTION SURVEY: PHYSICAL SCIENCES

	Total Entries	Library Holdings	Percent Held
GA	27	15	56%
GB	17	13	77%
GC	32	25	78%
Q	68	57	84%
QA	12	8	66%
QC	6	6	100%
GD	17	11	64%
QE	9	7	77%
Totals	188	142	75%

Source: A Basic Collection for the Physical Sciences. (New York: Not Real Press, 1901).

Methodology 3: Citation Analysis

The citation analysis methodology utilizes the bibliographic entries cited in a scholarly work or works. In the absence of a suitable bibliography for list checking, citation analysis provides a means to "tailor" a list for the specific assessment. While it has been described as a collection-centered technique, it has also been called a simulated user methodology because it simulates the use one researcher made of the literature for research.

Advantages:

1. Lists are easy to develop and can be "tailored" for a specific purpose (and program).
2. The methodology is easy to apply.
3. Citation analysis is flexible--the assessor has great leeway in focusing the evaluation and designing the sample.
4. The methodology can be used with either monographs or serials or with a combination of both.

Disadvantages:

1. Application of the methodology is tedious and time-consuming.
2. The methodology only reflects a user group that uses research to publish.
3. The citation analysis is limited by the sources cited by the author.
4. Abstracting and indexing services are usually excluded and secondary sources are under-represented.
5. Citations may not be verifiable.
6. Citations may be out-of-date.

The citation analysis may be limited by the author of the work being used to develop the sample list. If the author only cited a few "important" works but actually used more, this limits the coverage of the assessment. Some articles may cite only the resources available in the author's library; this may result in a sample that is not representative of the field.

Citation analysis and list-checking share the disadvantage of sample citations being out-of-date. Publication has a built-in time lag and some works cited may have been superseded, published in another edition, or reprinted. The assessor will need to decide how much weight or credit will be given when the library holdings do not exactly match the cited works. Determine when other works such as newer editions, reprints, etc. may be substituted for the work cited in the source document. Be cautious, though, in substituting for classic works or critical editions.

Procedures for Citation Analysis

In a citation analysis, the assessor selects a source (or sources) from which citations will be drawn. This source should be selected in consultation with the department and subject bibliographers to insure that it accurately reflects the program goals, curriculum content, and program level. Selection of the source document is a critical step for a successful assessment.

The citations to be used are checked against the holdings of the library. The assessor will need to decide if all the citations from the source will be checked or if a sample will be drawn. Standard statistical sampling methodology should be followed if a sample is used and several factors need to be considered:

1. Sample size.--Select a manageable sample that can be checked in a reasonable amount of time.

2. Sample content.--Decide what the sample should contain. Monographs, serials, other formats, and even unpublished sources are likely to be cited.

3. Sample duplication.--Some citations are likely to duplicate others. Decide if any weight will be given to the need for owning materials with a higher rate of citation.

4. Self citations.--Decide what weight will be given to self citing. A large number of citations may be to a relatively few number of sources, to the author's own works, or to articles in the same journal. This issue also needs to be considered during the data interpretation and report writing phases of the assessment.

Decisions will also need to be made about cited materials that will not be included in the collection. For instance, if the new program will not rely on materials in foreign languages, the assessor might want to take the next item if the sample methodology draws an item in a foreign language. The same might be true for unpublished materials (including dissertations) if these materials would not be collected by the library for the new program.

It is recommended that the assessor keep duplicate citations in the sample since the library should probably own frequently cited materials. If multiple sources are

used to draw the sample, the likelihood of duplicate citations is increased. Where possible, it is preferable to use a single source document. Since serials may not be held in complete runs, citations to different articles in duplicate serial titles should be included and checked.

Another procedural problem is unverifiable citations. Citations are not always given accurately in published sources. The assessor will need to decide if the number of works not found in the collection warrants verification of the citations and rechecking. If the number of items not held is small, this will probably not be necessary. In reporting the findings, the number of unuseable citations should be noted.

Since a citation analysis checks entries used for research in a given field, it may not be the most appropriate technique for evaluating a collection intended to support teaching at the undergraduate level. Researchers do not usually cite the basic texts and standard works that would be familiar to other researchers. The methodology is, however, a valid tool for evaluating a collection intended to support research.

Analysis of Data

The results of a citation analysis, like list checking, can be reported as a table or incorporated into text. If a table is used, the assessor should include the source of the citations, the total number available, the sample size, the number held, and the percentages this represents. If some

citations were not verifiable, the number of these should be noted. The assessor must interpret the meaning of these percentages.

Methodology 4: Expert Appraisal

There will be times when direct expert appraisal may be the preferred assessment technique. This technique requires an expert or experts--subject specialists, scholars in the field(s), librarians--who evaluate the collection. The report reflects the judgment of the consultant or consultants relative to the ability of the collection to support the new program. Such reports usually analyze the size, scope, depth, and significance of the collection. They may also include judgments relative to the physical condition of the collection.

The basic requirement for this technique is the identification and selection of a qualified expert since the results depend entirely on the experience of the evaluator and the level of his or her ability. The expert must be knowledgeable about the scholarly content of the subject taught in the new program and must have an in-depth knowledge of the resources required to support it. An expert asked to consult should have no vested interest in the outcome of the report.

Expert appraisal has been used effectively with broad general programs of study which are likely to draw on a large portion of the total collection. An expert opinion, drawn perhaps from an accreditation visitation by the

Southern Association of Colleges and Schools, is a valid measure. The advantages and disadvantages of using expert appraisal as a methodology for collection assessment include:

Advantages:

1. This kind of evaluation can usually be accomplished very quickly.
2. An expert appraisal does not require in-house expertise and does not require extensive in-house staff time.
3. The method can be used with any library collection or subject area.

Disadvantages:

1. Experts knowledgeable in a subject are essential and may be difficult to identify.
2. Materials not on the shelf may be missed.
3. The methodology resides in the expert and may not follow quantitative methods that yield data useful for subsequent action.

Analysis of Data

The expert should provide a written report detailing his or her opinion of the adequacy of the collection for support of the proposed program. The library should supplement this report with statistics such as gross size of the collection, volumes added in the field, and so forth. The library staff and the expert should prescribe any steps to be taken, if needed, to bring the collection to adequacy.

For Further Reading

List Checking

Lancaster, F. W. Measurement and Evaluation of Library Service. Washington, D.C.: Information Resources, 1977. Chapter 5, "Evaluation of the Collection," includes an excellent discussion of list checking on pages 177-178.

Tjarks, Larry. "Evaluating Literature Collections," BQ 12: (Winter 1972): 183-185.

Citation Analysis

Lopez, Manuel D. "The Lopez or Citation Technique of In-Depth Collection Evaluation Explicated," College and Research Libraries 44 (May 1983): 251-255.

Mosher, Paul H. "Quality and Library Collection: New Directions in Research and Practice in Collection Evaluation," in Advances in Librarianship 13 (Orlando, FL: Academic Press, 1985): 211-238. Mosher discusses citation analysis, pages 222-225.

Nisonger, Thomas E. "A Test of Two Citation Checking Techniques for Evaluating Political Science Collections in University Libraries," Library Resources & Technical Services 27 (April/June 1983): 163-176.

Nisonger, Thomas E. "An In-Depth Collection Evaluation at the University of Manitoba: A Test of the Lopez Method," Library Resources & Technical Services 24 (Fall 1980): 329-338.

Stueart, R.D. and G.B. Miller, Jr., eds. Collection Development in Libraries: A Treatise. (Foundations in Library and Information Science, Vol. 10, Part B), Greenwich, CT: JAI Press, 1980. Chapters by Shirley A. Fitzgibbons on "Citation Analysis in the Social Sciences," pages 345-372, and Kris Subramanyam on "Citation Studies in Science and Technology," pages 291-344, are useful.

CHAPTER 4

ASSIGNING COLLECTION LEVEL CODES

The lack of a common language to describe collections has been a traditional obstacle when preparing collection assessments. However, much work has been done by collection development officers to develop a common language that can be used to describe collections in a meaningful and comparative way. The format for this work relies on the use of collection level codes which are assigned to rank subject collections relative to the universe of scholarly publishing in the fields. Collection level codes developed by the Research Libraries Group, the American Library Association, and a coordinated collection development program in Indiana are described in this manual.

The RLG Conspectus

In 1980, the Research Library Group, Inc. initiated work on a tool that would facilitate coordinated collection development among its members. The tool, the RLG Conspectus, is a detailed list of approximately 5,000 subjects. Members assess their collections and assign a code to describe existing collecting strength and current collecting intensity. The RLG Conspectus is being widely used and its codes form the basis of the American Library

Association guidelines and for codes being developed in several states. These codes range from 0 (out of scope) to 5 (comprehensive) and include additional coding for language.

It is essential that assessors review the Manual for the North American Inventory of Research Collections[26] by Jutta Reed-Scott for background and guidance. The RLG Conspectus methodology provides a uniform code for describing collections and for comparing collections among libraries. Using this emerging national classification system is essential for NAAL's long range goal of coordinated collection development.

For the library component report of the new program proposal, the assessor will want to determine existing collection level and desired collecting intensity. Where a new program is completely new to an institution, the existing collection level may be "out of scope" (0) or "minimal level" (1). If there are complementary programs at the institution, the level may be as high as "basic information level" (2). Since the program has not previously existed at the institution, it is highly unlikely that the existing collection level will be the same as the desired collecting level.

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[26] Jutta Reed-Scott. Manual for the North American Inventory of Research Collections. (Washington, D.C.: Association of Research Libraries, 1985).

In assessing the library collection, select the RLG collection level that best describes the collection intensity needed for the new program. For example, a 3 level is intended to support undergraduate and most graduate instruction. Please note in the RLG definition for the 3 level that the use of the phrase "less than research intensity" is interpreted as less than Ph.D. research intensity. A 4 level would support research for a program offering the Ph.D. and other independent research.

The following codes are used in describing existing collection strength and current collecting intensity within the RLG Conspectus. In assigning values for existing collection strength and current collecting intensity, it is important to bear these points in mind:

1. These values describe collections or collecting policies absolutely, not relatively. They assume a national perspective and a broad cognizance of all facets of collecting. It is not appropriate to designate a level 4 because the collection is strongest in the state. The 4 should reflect strength in relation to scholarly research.

2. When the value describes existing collection strength, it should relate to the national shelflist measurement and reflect what is actually on the shelves.

3. When the value describes current collecting intensity, it represents actual collecting practices, and not policy, if that policy is being imperfectly observed.

The RLG Conspectus levels are defined as follows:

0 Out of Scope

The library does not collect in this area.

1 Minimal Level

A subject area in which few selections are made beyond very basic works.

2 Basic Information Level

A collection of up-to-date general materials that serve to introduce and define a subject and to indicate the varieties of information available elsewhere. It may include dictionaries, encyclopedias, access to appropriate bibliographic databases, selected editions of important works, historical surveys, bibliographies, handbooks, and a few major periodicals. A basic information collection is not sufficiently intensive to support any advanced undergraduate or graduate courses or independent study in the subject area involved.

3 Instruction Support Level

A collection that is adequate to support undergraduate and MOST graduate instruction, or sustained independent study; that is, adequate to maintain knowledge of the subject required for limited or generalized purposes, or less than research intensity. It includes a wide range of basic works in appropriate formats, a significant number of "classic" retrospective materials, complete collections of the works of more important writers, selections from the works of secondary writers, a selection of representative journals, access to appropriate non-bibliographic databases, and the reference and fundamental bibliographic apparatus pertaining to the subject.

4 Research Level

A collection that includes the major published source materials required for dissertations and independent research, including materials containing research reporting, new findings, scientific experimental results, and other information useful to researchers. It is intended to include all important reference works and a wide selection of specialized monographs, as well as a very extensive collection of journals and major indexing and abstracting services in the field. Pertinent

foreign language materials are included. Older material is retained for historical research.

5 Comprehensive Level

A collection in which a library endeavors, so far as is reasonably possible, to include all significant works of recorded knowledge (publications, manuscripts, other forms), in all applicable languages, for a necessarily defined and limited field. This level of collecting intensity is one that maintains a "special collection;" the aim, if not the achievement, is exhaustiveness.

Language Codes For Collections

Language codes are used in conjunction with collection intensity indicators to signify the language priorities and limitations governing the library's collecting policies. Although English is the primary language for scholarly materials in many fields, as, for example, computer science, the absence of foreign language materials may alter the scope and breadth of a collection. The use of language codes allows these differences to be reflected. The following qualifiers are used to indicate the variety and scale of language coverage:

E English language materials predominates. Little or no foreign language material is in the collection.

F Selected foreign language material included in addition to the English language material

W Wide selection of material in all applicable languages. No programmatic decision is made to restrict materials according to language.

Y Material is primarily in one foreign language. The overall focus is on collecting material in the vernacular of the area.

In the RLG Conspectus, an assigned value of 3F/3F in a subject field would mean that existing collection strength and current collecting intensity both occur at instructional support level. Further, the existing collection includes selected foreign language materials and collecting continues at this level. A value of 2E/3F would indicate that the existing collection is at the basic information level with predominately English language materials. The current collecting intensity, however, is for a collection to reach the instructional support level with selected foreign language materials.

To be consistent with the methodology, the library component report should report existing collection level and current collecting intensity. At a minimum, the library component report must note the desired collection level.

RLG Supplementary Guidelines

RLG libraries are currently preparing supplemental guidelines for some subjects. These guidelines define the characteristic of the literature, identify reference sources for access, and identify standard guides to the literature. The guidelines add specific language to the collection level codes that specify percentage of materials that should be held. These supplementary guidelines will be useful for list checking and citation analysis. However, the supplemental guidelines are not yet available for general distribution, but are planned for publication soon. Examples of two supplemental guidelines, for the Education

Conspectus and for the Natural History and Biology Conspectus, are included in Appendix D.

RLG Verification Studies

Another RLG program of verification studies is designed to verify the collection level codes reported to the RLG Conspectus. Verification studies test collection coverage, absolute and relative strengths, overlap, collection size and range to insure the codes are accurate descriptions of collections. These verification studies are being undertaken to standardize application of the codes; that is, to insure that a 4 level at one institution is comparable to a 4 level at another. Libraries completing a conspectus category participate in a verification study by examining their holdings in relation to other libraries completing the same category. Holdings are reported as percentages of the the materials found in the collection using a set of verification materials selected for the subject. Eventually, these reports should provide a range for the percentage of scholarly output expected to be in a collection at a given level. These studies are planned for publication but are not yet available. Three examples, summary statistics for Agricultural Economics, Renaissance and Baroque Art, and French Literature, are included in Appendix E.

American Library Association Guidelines

The Resources and Technical Services Division of the American Library Association is drafting descriptive codes for use in identifying existing collection strength and current collecting intensity. These guidelines are a modified and expanded adaptation of the definitions developed by the Research Libraries Group and the Alaska library consortium which includes libraries of all types.

0 Out of Scope

The library does not collect in this area.

1a Minimal, with uneven coverage

Unsystematic representation of subject.

1b Minimal, but chosen well

Few selections are made but basic authors, core works, and ideological balance are represented. Can support the most fundamental school, public, and academic library inquiries. For school and public libraries, would include toys, manipulative objects, and other three-dimensional objects.

2a Basic information level

A collection of up-to-date general materials that serve to introduce and define a subject and to indicate the varieties of information available elsewhere. It may include dictionaries, encyclopedias, historical surveys, bibliographies in print format or available through online databases, and periodicals, audio-visual material, and software in the minimum number and range of coverage that will serve the purpose. A basic information collection can support school instruction and routine public inquiries, but is not sufficiently intensive to support higher level academic courses or independent study or the wide-ranging recreational reading demands of a highly-educated general public.

2b Augmented information level

As above, except a few major periodicals, selected editions of important works, wider selection of reference materials.

3a Basic study level

Includes the most important primary and secondary literature, a selection of basic representative journals/periodicals, and the fundamental reference and bibliographical tools pertaining to the subject. Adequate for independent study, for advanced secondary school education, and for the lifelong learning needs of the general public, with coverage at all appropriate reading levels.

3b Intermediate instructional level

As above, except a wider range of basic monographs, wider selection of the more important writers and secondary materials, stronger journal/periodical support, and additional non-print material germane to the subject. Collection adequate to support term paper writing at the undergraduate or junior college level.

3c Advanced instructional level

As above, except adequate to support the course work of advanced undergraduate and master's degree programs, or sustained independent study; adequate to maintain knowledge of a subject required for limited or general purposes, but not strong enough for original research in a subject. It includes complete collections of the works of the important authors, selections from the works of secondary writers, a selection of representative journals/periodicals, and all the reference tools and fundamental bibliographic apparatus pertaining to the subject. Access to software and computer applications may be required, particularly in technical, scientific, and quantitative fields.

4 Research level

A collection that includes the major published source materials required for dissertations and independent research, including materials containing research reporting, new findings, scientific experimental results, conference and symposia proceedings, and other information useful to researchers regardless of format or physical medium. It is intended to include all important reference works and a wide selection of specialized monographs, as well as a very extensive collection of journals and major indexing and abstracting services in the field or access to their electronic equivalents. Older material is retained for historical research.

5 Comprehensive level

A collection in which a library endeavors, so far as is reasonably possible, to include all significant works of recorded knowledge (publications, manuscripts, other forms), in all applicable languages, for a necessarily defined and limited field. Holdings of artifacts, analogous to a museum collection, or archival collections, if present, should be indicated in scope notes. This level of collecting intensity is one that maintains a "special collection;" the aim, if not the achievement, is exhaustiveness.

Indiana Coordinated Collection Development Program

Libraries in Indiana are engaged in a coordinated collection development program that bases its assessment process on the RLG Conspectus. The Indiana project has expanded the RLG guidelines for use with collections other than research level. This expansion is included to help clarify the level codes.

Each succeeding collection level is presumed to be inclusive of those which precede it.

0 Out of Scope

The library does not collect in this area.

1 Minimal Level

A subject area in which few selections are made beyond very basic works. Basic materials purchased include:

a) introductory textbooks, and

b) descriptive, concept-oriented works written for the interested layperson with little or no previous knowledge of the field.

Reference materials include:

a) handbooks that define terms and describe the scope of the field, and

b) general dictionaries or encyclopedias.

2A Basic Information Level - Introductory

A selective collection of materials that serves to introduce and define a subject and to delineate its major topics. The introductory level of a basic information collection is only sufficient to support introductory level courses and the beginning stages of independent study. The collection should offer an adequate base for students attempting to locate general information. Although it is not designed to provide support for all subtopics in subject areas, it should be comprehensive enough to support broad subject areas. It should include some basic materials that direct the user to other relevant information.

The Basic Information Level collection should include all items listed as basic materials in level 1. In addition, it should include:

a) basic explanatory works, including selected textbooks,

b) historical descriptions of the development of the subject,

c) general works devoted to major subtopics in the field, and

d) additional explanatory works about the theories, research, and other works of major figures in the field.

It should also include the basic reference sources mentioned in level 1 as well as most of the following: important bibliographies, handbooks, guides, directories, and encyclopedias or dictionaries that cover a range of disciplines within a subject area.

2B Intermediate Instructional Level

The intermediate instructional support level provides a basic introduction to the subject for a student in first and second year undergraduate courses sufficient to support all papers and class assignments. The intermediate level includes:

a) a selection of basic monographs and periodicals on the general subject as well as on subtopics covered in the undergraduate curriculum, and

b) a broader selection of works by important authors as well as works describing and evaluating their theories, research, and/or writing.

3 Instructional Support Level

This level supports advanced undergraduate and master's degree courses. The collection includes:

a) a broad range of monographs, serials, and other appropriate formats, and all the seminal works in the broad subject area and all major subtopics,

b) complete works of the most important authors in the native language or in English translation,

c) a substantial collection of works by secondary authors, and

d) works that describe or evaluate theories, research or writings of important authors.

Most of the important reference tools, including major periodical indexes, abstracts, and bibliographies are also included.

4 Research Level

A collection that includes the major published source materials required for dissertations and independent research, including materials containing research reporting, new findings, scientific experimental results, and other information useful to researchers. It is intended to include all important reference works and a wide selection of specialized monographs, as well as a very extensive collection of journals and major indexing and abstracting services in the field. Pertinent foreign language materials are included. Older material is retained for historical research.

5 Comprehensive Level

A collection in which a library endeavors, so far as is reasonably possible, to include all significant works of recorded knowledge (publications, manuscripts, other forms), in all applicable languages, for a necessarily defined and limited field. This level of collecting intensity is one that maintains a "special collection;" the aim, if not the achievement, is exhaustiveness.

For Further Reading

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CHAPTER 5

PREPARING THE REPORT

The library component of the new program proposal is a written evaluative statement that describes the existing collection and evaluates its ability to support the proposed program. The report describes what will be needed for the collection to achieve and sustain the desired collecting intensity and defines the one-time and ongoing costs associated with that collection level.

The amount of detail in the report is determined by the assessor and is selected to support the evaluative judgments. In general, the report includes:

1. An overview of the library;
2. A description of the existing and desired collecting levels;
3. A description of the subject field being assessed;
4. The results of the assessment;
5. An interpretation of the data supplied by the assessment.
6. A prescription of what will be needed to reach the desired collecting level; and
7. A statement of one-time and ongoing costs associated with attaining and sustaining the collection at the desired level.

The assessor may want to confer with the department faculty when initial interpretations of the data have been

made. The faculty can help with the interpretation, insure that the description of the subjects and their use are correct, and assist in recommendations for achieving collection adequacy. An early conference with the faculty can help prevent a surprised reaction to the written library component report. Appendix F contains a sample entry distributed by ACHE which describes a format for the library component report.

Overview of the Library

Each library component usually begins with an overview of the library that will support the program. This may be the main library or, in decentralized systems, a departmental library. The overview should describe briefly the total holdings of monographs, serials, and other special materials such as government documents, microforms, or audio-visual materials. If the library is a member of a cooperative organization that has impact on the collection and access to materials, this should be noted. Participation in special projects which strengthen the library's holdings or access to materials (such as union listing) may be included.

If collections in other libraries will be used by the program's students, faculty, and researchers, these collections should be described briefly in the overview. Strengths and weakness of the collections should be included as well as a description of their accessibility to the users. If they form an important part of the resources to

be used in the program, details should be included in the data section of the report and the results of any assessment included in the interpretive and evaluative portions of the report.

Describing Collection Levels

The assessor should describe the existing collection level and the desired collection level needed to support the program. The RLG Conspectus or the American Library Association collection level codes may be used. The letter code for language coverage should be included for both the existing and desired collection levels. If there are any other applicable library standards, identify and describe any of their recommendations which were used in the assessment.

Description of the Subject Field

The library component report should parallel the description of the subject field being evaluated. Organization and sequence of the information in this section are left to the assessor's judgment. In general, there should be an overview of the collection being evaluated, an indication of gross size, the primary and secondary subjects included, and the characteristics of the communication of knowledge in the field. To describe the primary and secondary subjects, some reports include an appendix of the classification numbers where material could be found for research in the field. While not an ACHE requirement, this

is especially helpful if the subject draws from a large number of distinct fields. This listing would also be useful in stating an initial collection development policy for the subject.

Communication of Knowledge in the Field

The characteristics of scholarly communication in the field should be described. Among the elements that will impact the assessment are: reliance on monographs, serials, or other materials; dependence on current or retrospective materials. Some fields have a much broader scope of literature, for example, American literature has a much broader scope in comparison to computer science. The breadth of the field, as a characteristic of its literature, should be noted. Some disciplines rely more on scholarly publication, for example, Russian history has a different scope than mass communication, and this characteristic should be noted.

Reporting Results of the Assessment

Size of the Collection

The gross size of the collection should be reported as number of monograph titles, number of current serials subscriptions, and number of other special materials (such as documents, patents) which are important resources. The number of monographs may be estimated from shelflist counts or obtained from an automated circulation system if the entire collection is loaded in the database.

In addition to gross size, the assessor may report rate of growth over the past several years if this statistic is readily available for the collection. If special emphasis has been placed on purchases in any of the areas included in the collection, this should be noted. Descriptions of serial titles held should note retrospective coverage and the availability of complete runs versus recent subscriptions where retrospective volumes were not added.

If the subject being assessed draws on existing collections, the assessor may decide to evaluate only the new component. If that is the case, the report should identify the areas which were not evaluated and note their existing collection levels. The assessor should be able to state that these areas of the collection are adequate for the proposed new program.

Interpretation of Data Collected

Each assessment methodology selected and its application for this assessment should be described. If list checking was used, identify the list used and the rationale for its selection. If citation analysis was used, identify the source of the citations and the rationale for its selection. Report the number of citations actually checked and any variations such as deleting foreign language or unpublished materials from the checking. If a sample was used, report the sample size. If a consultant was used, documentation of the expert's background and experience should be included along with the consultant's report.

It is helpful to report and interpret separate findings for monographs, serials, other printed materials and materials in other formats. The discussion of findings should include the rate of success for holdings checked. Based on the characteristics of the literature, the strength of current and retrospective holdings should be discussed. If notable holdings (such as key sets of monographs or long runs of serials) are identified, the discussion should include a judgment of their importance. In identifying serials to be added, the report should note not only new subscriptions but additions to backfiles for both new and currently-held serials.

Since every library cannot be expected to own every needed item, the assessor may wish to substitute access for ownership in some classes of materials. The location of these materials and their availability to users should be noted. Since there are barriers to use when materials are located off-site, these should be noted. Access is especially valuable if formal resource sharing arrangements are operable which supplement traditional interlibrary loan arrangements.

While most of the assessment tools used will include some materials classified as reference, the strengths of reference materials in providing access to the collection should be discussed. The availability of standard reference works, indexing and abstracting services, and machine-readable databases, etc., should be noted. Since

availability of staff is critical in making the collection accessible, this may be discussed by the assessor. It is especially important to include an assessment of staff needs if additional staff will be needed to serve the program.

Description of Needs to Achieve Desired Level

A summary evaluation drawing from the assessment techniques and the assessor's judgment should state whether the current collection is adequate to support the proposed program. The assessor should state the desired collection level from the RLG Conspectus procedures and state whether the collection meets this level. If not, describe what measures must be undertaken to attain the desired collection level. Further, the report must include a statement of one-time funding which should be spent immediately upon approval of the program and a statement of on-going costs associated with sustaining the collection at the desired level. The costs may be categorized into monographs, current and retrospective; serials, current and retrospective; other materials, other formats (including online databases). Do not include lists of materials to be purchased in the report.

Special factors, such as staff and facilities, which will impact the accessibility of the collection may be noted. While not a part of collection assessment in the strictest sense, accessibility to the materials may be critical to the success of the library in supporting the program.

Financial Support

For all additions to the collection, an approximation of costs to obtain the needed materials must be included. This estimate should include:

1. Estimated one-time costs to be expended upon approval of the program;
2. Estimated on-going costs to sustain the collection at the desired collection level.

There are several sources, none completely satisfactory, for materials' pricing data. The Bowker Annual includes indexes for materials pricing. These are published annually for the preceding year. The hardcover book index reflects a broader spectrum of materials than is generally purchased by academic libraries and should be used with caution. Local expenditures data, if available, may be used to modify the Bowker data. On the other hand, the periodicals index may reflect a narrower range than most university subscriptions and may also need to be modified by local data.

The vendors offering approval plans supply cost data as part of their management reports. They usually include the total list cost if all books in a category were purchased and the average list price for books in the category. If cost data is available for several years, it may be possible to forecast anticipated increases.

Choice annually publishes price information for academic books. The price information is compiled using the reviews appearing in Choice during the previous calendar year. The data include figures for the number of titles published and

reviewed by field, the percent of total titles this number represents, and the average price per title for books in each field. In addition, the table compares the data with other years so that trends in prices can be determined.[27]

Periodical price indexes have appeared annually in the October 1 issue of Library Journal; however, the date seems to have moved to the April 15 issue in 1986.[28] In addition, periodical price updates have been published in the Serials Librarian since 1981.[29]

Forecasting estimated costs is an inexact exercise. "Forecasting Price Increase Needs for Library Materials: The University of California Experience"[30] describes one library's experience with price forecasting. Although this article focuses on forecasting for the annual materials

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[27]Soupiset, Kathryn A. "College Book Price Information, 1986," Choice 24 (March 1987): 1006-1010.

[28]Horn, Judith G. "Price Indexes for 1986: Periodicals," Library Journal 111 (April 15, 1986): 47-52.

[29]F. F. Clasquin. "The 1978-80 Faxon Periodical Prices Update," Serials Librarian 5 (Spring 1981): 81-90; Gerald R. Lowell, "Periodical Prices 1979-1981 Update," Serials Librarian 5 (Spring 1981): 91-93; Rebecca T. Lenzini, "Periodicals Prices 1981-1983 Update," Serials Librarian 8 (Winter 1983): 107-118; Rebecca T. Lenzini. "Periodical Prices 1982-1984 Update," Serials Librarian 9 (Winter 1984): 13-24; Rebecca T. Lenzini. "Periodical Prices 1984-1986 Update," Serials Librarian 11 (September 1986): 107-115.

[30]"Forecasting Price Increase Needs for Library Materials: The University of California Experience," Library Resources & Technical Services 28 (April/June 1984): 136-148.

budget, the process can be helpful in forecasting for the new program cost estimates.

In addition to the sources identified in this manual, there are other sources for price index information. Appendix G contains a list of sources prepared by the American Library Association.

Institutions submitting new proposals vary in their treatment of the information supplied by the library faculty. The full program proposal may include the library component as submitted by the library faculty or it may summarize the information. However the library component is used, the cost estimates for library materials must be included in the overall budget projections given for the new program.

Executive Summary

The executive summary should be brief and contain only relevant information: the basic requirements are a statement of desired collecting level needed for the new program with an assessment of whether the library collections are adequate or inadequate. If the latter, state what kind of effort in dollars, acquisitions, and staff will be required over how long a period of time. The executive summary should introduce the library component report with the report itself serving as the documentation.

Special Cases

Collections Supporting Joint Programs

A number of institutions have proposed joint programs of study and preparation of the library component for these proposals require a somewhat different approach to collection assessment. First, the staff for the participating libraries need to determine the pattern of use that students, faculty, and researchers will follow for the joint program. Will users in both institutions need equal access to all library collections? Will the library collections be roughly equivalent or will there be a division of collecting responsibilities? Should the assessment treat the library collections as one or should separate assessments be completed for each library? The answers to these questions will need to be determined through consultation between the two library faculties and between the library faculties and the departmental faculties.

A joint proposal will require a high degree of communication to insure that all participants are in agreement. As a result, joint proposals may require more time to complete.

Additional assessment measures may need to be applied in joint proposals. Methodologies that explore the degree of overlap as well as identify unique titles may be important. The Amigos Bibliographic Council offers a collection analysis service of machine-readable tapes that studies

overlap. Reports that detail degree of overlap by specific classification numbers and identify unique holdings are available. If libraries submitting a report for a joint program proposal have completed retrospective conversion for the subject fields being assessed, the overlap study might be a useful tool.

Collections Supporting Two or More Similar Programs

Occasionally, an institution will submit proposals for new programs that are closely allied and that will essentially draw their resources from the same library materials. If the library determines that this is the case and determines that the same assessment will suffice, then it is acceptable to use the same library component report for the proposals. This is only acceptable if the proposals are being submitted to ACHE at about the same time. If as much as 18 months to two years lapses between submission of the proposals to ACHE, the assessments would likely result in different findings and separate reports should be submitted.

CHAPTER 6

COLLECTION ASSESSMENT FOR OTHER PURPOSES

Review of Existing Programs

In 1984, the Alabama Commission on Higher Education began a five-year cycle of review of existing academic programs offered by Alabama academic institutions. The process to be used for this comprehensive review is determined by each institution and may or may not require an assessment of the library resources supporting the program. Where an institution chooses to assess the library collection in its review, the methodologies outlined in this manual may be useful. In addition, the assessor may want to consider using some of the user-centered assessment methodologies outlined by Blaine H. Hall in his Collection Assessment Manual for College and University Libraries.[31]

Statewide Cooperative Collection Development

The objective of the Network of Alabama Academic Libraries is to coordinate statewide resource sharing. An important component of this program is cooperative collection development. It has undertaken a project of program assessment and funds proposals to strengthen

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[31]Hall. Collection Assessment, pp. 28-68.

statewide library resources. As part of the funding activities, the Network requires submission of an "institutional plan for collection development" which requires an assessment of the program area in which NAAL funds will be spent. A copy of the guidelines for the NAAL Collection Development Program is included in Appendix H.

Collection Development Policy

It is not the purpose of this manual to discuss the writing of a collection development policy. However, a written collection policy in each of the Alabama's academic institutions is an important step toward meeting NAAL's objectives for resource sharing, coordinated collection development, and collection enhancement on a statewide basis. The planning, evaluation, and report writing that results in a new program proposal demonstrates tangible progress toward NAAL's goals. The results of an assessment can be used as preliminary documentation for the institution's own collection policy. Strengths to be built on and weaknesses to be corrected can be identified.

Each library completing a library component report is urged to take the next step and write a collection development policy for the subject under review. These policies will become important tools for communication among NAAL's members.

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RLG Conspectus

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APPENDIX A

National Shelflist Count Sampling Procedure

1. Obtain several colored cards to use as markers.

2. Number all shelflist drawers in one consecutive sequence.

3. Draw 100 random numbers 1 to n, where n = the largest number in the shelflist sequence. Use a random number table from a statistics textbook.

4. Arrange numbers in serial order. Draw numbers in a random order, e.g., 20,5,13,2 and arrange as 2,5,13,20.

5. Pull the drawer that corresponds to the first drawer number and set it on a table. Pull cards forward until they are packed tightly together.

6. Using a ruler, measure 100 millimeters from the front into the drawer. Mark this spot with a colored card.

7. With the catalog cards still packed tightly, measure an additional 20 millimeters into the drawer and mark this spot with another marker card.

8. Count and record the total number of <u>titles</u> in the 20 millimeter sample. Count each title in an analyzed monographic series. (These are title analytics made for separate titles in an established series where each constitutes a single, separately-authored work.) Do not count continuation cards in sets. Do not count spacer or divider cards.

9. When all randomly selected shelflist drawers have been sampled, calculate the average number of titles per millimeter. The average number of titles (T) per millimeter equals the total number of titles in all samples (S) divided by the number of millimeters in all samples (M).

$$T = S/M$$

Note: Once the shelflist has been sampled using this procedure, the number of titles per millimeter will have been established. Use this average for subsequent shelflist counts.

APPENDIX B

APPROVAL PLAN MANAGEMENT REPORTS

Blackwell North America, Inc.

The Blackwell North America Approval Plan inc udes a Subject Thesaurus which a library uses to describe its collecting policies. The thesaurus contains approximate y 5,000 terms, hierarchically arranged among forty separate subject divisions. These subjects are used by Blackwell North America to select for approval books that match a participating library's profile.

Each year Blackwell North America prepares the Approval Program Coverage and Cost Study for the year of July through June. The statistics reflect coverage by Blackwell North America of publications in the subjects included in their Subject Thesaurus. The study includes:

1. A listing of totals of original titles published in broad subject areas (or combinations of areas) treated on approval.

2. A list of the primary subject areas with the number of titles treated in each subject, the cost to purchase all titles, and their average list price. For this section, each book is assigned only one subject--the primary subject area. There are two subsections: all books treated on approval and university press books only.

3. An expanded listing, similar in format to the list of primary subject areas, except that all subjects assigned to a title are taken into account. This expanded listing also is divided into "all books treated" and "university press books only."

4. A listing of the primary subject areas for the previous report year. It only includes the "all books treated" subsection for comparative purposes.

5. A list of "all books treated" subsections of the primary subject area arranged by the alphabetic portion of the LC classification number.

Inquiries about the availability of the Blackwell North America Approval Program Coverage and Cost Study can be sent to:

Blackwell North America, Inc.
1001 Fries Mill Road
Blackwood, NY 08012

The Baker & Taylor Company

Baker & Taylor provides the customers of its approval plan program with an annual "Approval Program Subject Report" and "Management Information Report: Subject Station" which include data about academic book production and book prices. The survey is based on titles actually purchased by academic and research libraries during the fiscal year July through June.

Title production and average list price are provided for each of the 131 subject stations in Baker & Taylor's approval program thesaurus. All academic readership levels (undergraduate, graduate, professional, general, supplementary, and extra-curricular) are included.

The average list price is based on both the title mix and library purchasing patterns within each subject. For example, if the number of lower-priced paperbacks is high in a subject and libraries purchase a significant number of these titles, then the combined publishing activity (number of paperbacks) and library purchases will reflect a lower average price list. The total cost of purchasing all titles in each subject is also calculated using this average list price. There are also subtotals for broader subject coverage which include number of titles purchased, the average list price, and the cost of all the titles if they had been purchased.

Inquiries about the availability of the Baker & Taylor Approval Program Reports can be sent to:

Baker & Taylor
Midwestern Division
501 S. Gladiolas Street
Momence, IL 609545-1799

APPENDIX C

ALABAMA COMMISSION ON HIGHER EDUCATION

National Accrediting and Approving Organizations
Recognized by the U. S. Department of Education (USDE)
and/or
The Council on Postsecondary Accreditation (COPA)

FIELD, ORGANIZATION & TYPE PROGRAMS ACCREDITED AND/OR APPROVED	RECOGNIZED BY USDE	COPA
ALLIED HEALTH		
Committee on Allied Health Education & Accreditation (CAHEA)		
For various allied health fields:		
Assistant to the Primary Care Physician	X	X
Cytotechnologist	X	X
Diagnostic Medical Sonographer	X	X
Electroencephaolgraphic Technician/Technologist	X	X
Emergency Medical Technician-Paramedic	X	X
Histologic Technician/Technologist	X	X
*Medical Assistant	X	X
*Medical Laboratory Technician (Associate Degree)	X	X
Medical Laboratory Technician (Certificate)	X	X
Medical Record Administrator	X	X
Medical Record Technician	X	X
Medical Technologist	X	X
Nuclear Medicine Technologist	X	X
Occupational Therapist (four-year only)	X	X
Ophthalmic Medical Assistant	X	X
Perfusionist	X	X
Radiation Therapy Technologist	X	X
Radiographer	X	X
Respiratory Therapist	X	X
Respiratory Therapy Technician	X	X
Specialist in Blood Bank Technology	X	X
Surgeon's Assistant	X	X
Surgical Technologist	X	X

*NOTE: These fields are also accredited by another body. See major headings "Medical Assistant Education" and "Medical Laboratory Technician"

FIELD, ORGANIZATION & TYPE PROGRAMS ACCREDITED AND/OR APPROVED	RECOGNIZED BY USDE	COPA
ARCHITECTURE		
National Architectural Accrediting Board, Inc.	X	X
For first professional program (Bachelor of Architecture, 5 yrs.; Master of Architecture with pre-professional requirement, 6 yrs.; Master of Architecture without pre-professional requirement, degree plus 3.5 years.)		
ART		
National Association of Schools of Art & Design	X	X
For institutions and units (departments, programs, divisions) within institutions offering associate, baccalaureate, and/or graduate degree programs in art, design and art/design related disciplines and non-degree-granting institutions		
BUSINESS		
American Assembly of Collegiate Schools of Business	X	X
For baccalaureate and master's degree programs in business administration and management, and accounting		
CHEMISTRY		
American Chemical Society		
For undergraduate programs in chemistry		
CONSTRUCTION EDUCATION		
American Council for Construction Education		X
For baccalaureate programs in construction, construction science, construction management, and construction technology		

FIELD, ORGANIZATION & TYPE PROGRAMS
ACCREDITED AND/OR APPROVED

RECOGNIZED BY
USDE COPA

COUNSELING

Council for Accreditation of Counseling and Related Educational Programs

For entry level programs resulting in master's or specialist's degree and at least two full academic years in length in:

a. counseling in community and other agency settings;
b. student personnel services in higher education; and
c. school counseling, and doctoral programs in counselor education.

NOTE: The Council will not review a program where the specialist degree is offered as an intermediate degree.

DEAF EDUCATION

Council on the Education of the Deaf

For programs which lead to the certification of instructional personnel employed in educational programs for hearing impaired children

DENTAL AND DENTAL AUXILIARY PROGRAMS

American Dental Association X X

For programs leading to the DDS and DMD degree, advanced dental speciality programs, general practice residency programs, dental hygienist, dental assistant, and dental technologist

DIETETICS

American Dietetics Association X X

For coordinated undergraduate programs in engineering, and graduate programs leading to advanced entry into the engineering profession, and associate and baccalaureate degree programs in engineering technology

FIELD, ORGANIZATION & TYPE PROGRAMS ACCREDITED AND/OR APPROVED	RECOGNIZED BY USDE	COPA
FOOD TECHNOLOGY		
Institute of Food Technologists		
For undergraduate programs in food science/technology		
FORESTRY		
Society of American Foresters	X	X
For programs leading to a bachelor's or higher first professional degree and related resource-oriented programs		
HEALTH SERVICES ADMINISTRATION		
Accrediting Commission on Education for Health Services Administration	X	X
For graduate programs in health policy analysis, health services administration, and health planning		
HOME ECONOMICS		
American Home Economics		X
For home economics units having programs leading to baccalaureate degrees		
INTERIOR DESIGN EDUCATION		
Foundation for Interior Design Education Research	X	X
For professional & technical program, junior college through graduate levels		

FIELD, ORGANIZATION & TYPE PROGRAMS ACCREDITED AND/OR APPROVED	RECOGNIZED BY USDE	COPA
JOURNALISM		
Accrediting Council on Education for Journalism and Mass Communication	X	X
For professional programs at undergraduate and master's degree levels		
LANDSCAPE ARCHITECTURE		
American Society of Landscape Architects	X	X
For baccalaureate and graduate degree programs		
LAW		
American Bar Association	X	X
For professional law schools.		
Association of American Law Schools		X
For programs leading to the first professional degree in law (J.D. or LL.B)		
LIBRARIANSHIP		
American Library Association	X	X
For programs leading to the first professional degree		
MARRIAGE & FAMILY THERAPY		
American Association for Marriage & Family Therapy	X	
For graduate degree programs and clinical training programs		

FIELD, ORGANIZATION & TYPE PROGRAMS
ACCREDITED AND/OR APPROVED

	RECOGNIZED BY USDE	COPA
MEDICAL ASSISTANT EDUCATION		
Accrediting Bureau of Health Education Schools	x	x
For private medical assistant schools and programs		
NOTE: CAHEA also accredits medical assistant programs.		
MEDICAL LABORATORY TECHNICIAN		
Accrediting Bureau of Health Education Schools	x	x
For schools and programs for medical laboratory technicians		
NOTE: CAHEA also accredits medical laboratory technician programs.		
MEDICINE		
Liaison Committee on Medical Education of the Council on Medical Education	x	x
For programs leading to the M.D. degree and programs in the basic medical sciences		
MUSIC		
National Association of Schools of Music	x	x
For institutions and units (departments, programs, divisions) within institutions which offer associate, baccalaureate, and graduate degree programs in music and music-related disciplines		

FIELD, ORGANIZATION & TYPE PROGRAMS ACCREDITED AND/OR APPROVED	RECOGNIZED BY USDE	COPA
NURSING		
American Association of Nurse Anesthetists	X	
For professional schools/programs of nurse anesthetists		
National Association for Practical Nurse Education and Service, Inc.	X	X
For practical nurse programs, primarily in private schools; however, they will accredit public programs		
National League for Nursing	X	X
For practical, associate, diploma, baccalaureate, and master's level programs in nursing		
American College of Nurse Midwives	X	
For programs for nurse midwives		
OCCUPATIONAL THERAPY		
American Occupational Therapy Association		
For occupational therapy assistant programs		
OPTOMETRY		
American Optometric Association	X	X
For programs leading to the O.D. degree		

FIELD, ORGANIZATION & TYPE PROGRAMS ACCREDITED AND/OR APPROVED	RECOGNIZED BY USDE	COPA
PHARMACY		
American Council on Pharmaceutical Education	X	X
For first professional degree (baccalaureate or doctorate)		
PHYSICAL THERAPY		
American Physical Therapy Association	X	X
For entry-level programs (associate degree through graduate for physical therapists and physical therapist assistants		
PLANNING		
American Planning Association		
For planning degree programs		
PSYCHOLOGY		
American Psychological Association	X	X
For doctoral programs in professional psychology and pre-doctoral internship training programs in clinical and counseling psychology		
PUBLIC ADMINISTRATION		
National Association of Schools of Public Affairs and Administration		
For master's programs in public affairs, public administration, public policy and closely related fields		

FIELD, ORGANIZATION & TYPE PROGRAMS ACCREDITED AND/OR APPROVED	RECOGNIZED BY USDE	COPA
PUBLIC HEALTH		
Council on Education for Public Health	X	X
For graduate schools of public health, and graduate programs offered outside schools of public health in community health education and in community health/ preventive medicine		
REHABILITATION COUNSELING		
Council on Rehabilitation Counseling		X
For master's degree programs in rehabilitation counselor education		
SOCIAL WORK		
Council on Social Work Education	X	X
For baccalaureate and master's programs		
SPEECH PATHOLOGY AND AUDIOLOGY		
American Speech-Language-Hearing Association	X	X
For master's degree programs in speech-language pathology and/or audiology		
TEACHER EDUCATION		
National Council for Accreditation of Teacher Education	X	X
For baccalaureate and graduate degree programs		
VETERINARY MEDICINE		
American Veterinary Medical Association	X	X
For programs leading to D.V.M. or V.M.D. and two-year programs for animal technicians		

APPENDIX D

RLG SUPPLEMENTAL GUIDELINES

Supplemental Guidelines For the Education Conspectus

Although educational researchers rely heavily on journal literature, they also need access to strong collections of monographs and government publications in the field. The list of journals indexed in Current Index to Journals in Education, Education Index, and Social Sciences Citation Index, will give the bibliographer an overview of major English-language education journals and, in the case of Education Index, yearbooks. A check of titles in the bibliographies included in The Encyclopedia of Educational Research (1982) and in Marda Wookbury's A Guide to Sources of Educational Information (1982) should also prove useful in assessing research library holdings in education. In the following supplemental guidelines, each succeeding level of collecting is presumed to be inclusive of those that precede it. In assigning values for ECS and CCI, it is important to bear these points in mind:

1. These values describe collections or collecting policies absolutely, not relatively. They assume therefore a national perspective and a broad cognizance of all facets of collecting.

2. When the value describes existing collection strength, it should relate to national shelflist measurement, reflecting what is actually on the shelves.

3. When the value describes current collecting intensity, it represents actual collecting practices, and not policy, if that policy is being imperfectly observed.

To assist bibliographers in establishing the collection levels for education, the level codes have been expanded as follows:

0 Out of Scope.--The library does not collect in this area.

1 Minimal Level.--A subject area in which few selections are made beyond very basic works.

2 Basic Information Level. A collection of up-to-date general materials that serve to introduce and define a subject and to indicate the varieties of information available elsewhere. It may include dictionaries, encyclopedias, access to appropriate bibliographic data bases, selected editions of important works, historical surveys, bibliographies, handbooks, a few major periodicals, in the minimum number that will serve the purpose. A basic information collection is not sufficiently intensive to support any advanced undergraduate or graduate courses or independent study in the subject area.

3 Instructional Support Level.--A collection that is adequate to support undergraduate and MOST graduate instruction or sustained independent study; that is, adequate to maintain knowledge of a subject required for limited or generalized purposes, of less than research intensity. It includes a wide range of basic monographs, complete collections of the works of more important writers, selections from the works of secondary writers, access to appropriate non-bibliographic data bases, a selection of representative journals such as a majority of the titles indexed in Education Index, and the reference tools and fundamental bibliographical apparatus pertaining to the subject. In education collections for institutions offering teacher certification, this level includes a collection of representative curriculum materials. A basic collection of government documents is included.

4 Research Collection.--A collection that includes the major published source materials required for dissertations and independent research, including materials containing research reporting, new findings, experimental results, and other information useful to researchers. It is intended to include all important reference works and a wide selection of specialized monographs, as well as a very extensive collection of journals such as a majority of titles indexed in Current Index to Journals in Education and major indexing and abstracting services in the field. The collection should include conference proceedings and publications of professional associations. Pertinent foreign language materials are included. Government documents are included in American and foreign education collections. The Educational Resources Information Center (ERIC) microfiche collection should be included. Older material is retained for historical research.

5 Comprehensive Level.--A collection in which a library endeavors, so far as is reasonably possible, to include all significant works of recorded knowledge (publications, manuscripts, other forms), in all applicable languages, for a necessarily defined and limited field. This level of collecting intensity would maintain a national resource of education journal titles, including almost all of the titles indexed in Current Index to Journals in Education. The aim, if not the achievement, is exhaustiveness.

Supplemental Guidelines To Natural History and Biology Conspectus

Biology research relies heavily on serial literature. Therefore checking standard lists of major serial titles is the most effective way to assess the extent and strength of a library's biology collection. Two such lists are the "Periodicals Indexed" appearing in the Biological and Agricultural Index, H.W. Wilson Co., (1916-, monthly, quarterly, annual); and the Serial Sources for the Biosis Data Base, Biosis, (1978-, annual).

A review of R. Blanchard and L. Farrell's Guide to Agricultural and Biological Research (Berkeley: U.S. Press, 1982); R.T. Bottle's Use of Biological Literature. 2nd ed. (Archon: 1971); and R. Smith's Guide to the Literature of the Life Sciences. 9th ed. (Minneapolis: Burgess, 1980) should prove useful in assessing an institution's reference holdings.

In assigning values for ECS and CCI, it is important to bear these points in mind:

1. These values describe collections or collecting policies absolutely, not relatively. They assume therefore a national perspective and a broad cognizance of all facets of collecting.

2. When the value describes existing collection strength, it should relate to national shelflist measurement, reflecting what is actually on the shelves.

3. When the value describes current collecting intensity, it represents actual collecting practices, and not policy, if that policy is being imperfectly observed.

Each succeeding level of collecting is presumed to be inclusive of those that precede it.

To aid bibliographers in establishing the collection levels for biology, the codes have been expanded as follows:

0 Out of Scope.--The library does not collect in this area.

1 Minimal Level. A subject area in which few selections are made beyond very basic works.

2 Basic Information Level.--A collection of up-to-date general materials that serve to introduce and define a subject and to indicate the varieties of information available elsewhere. It may include dictionaries, encyclopedias, access to appropriate bibliographic data bases, selected editions of important works, historical surveys, bibliographies, handbooks, in the minimum number that will serve the purpose. It will also include a few indexes, such as the Biological and Agricultural Index, and a selection of general periodicals, including 30 percent or more of the biological titles in the "Periodicals Indexed" section appearing in the Biological and Agricultural Index. A basic information collection is not sufficiently intensive to support any advanced undergraduate or graduate instruction or independent study in the subject area involved.

3 Instructional Support Level.--A collection that is adequate to support undergraduate and MOST graduate study; that is, adequate to maintain knowledge of a subject required for limited or generalized purposes, or less than research intensity. It includes a wide range of monographs, access to appropriate non-bibliographic data bases, and general texts. It includes the major indexing and abstracting services in the field and a wide range of basic serials, including 90 per cent or more of the titles pertinent to the subject area being described in the "Periodicals Indexed" appearing in the Biological and Agricultural Index.

4 Research Collection.--A collection that includes the major published source materials required for dissertations and independent research, including materials containing research reporting, new findings, scientific experimental results, and other information useful to researchers. Pertinent foreign language materials are included. It is intended to include important reference works and a wide selection of specialized monographs. It contains a very extensive collection of serials, including 70 percent or more of the titles in the Serials Sources for the Biosis Data Base, based on a computer search on a selected topic over the last one to three years. Older material is retained for historical research.

5 Comprehensive Level.--A collection in which a library endeavors, so far as is reasonably possible, to include all significant works of recorded knowledge (publications, manuscripts, other forms), in all applicable languages, for a necessarily defined and limited field. The choice of a bibliographic standard against which holdings should be measured will depend on the chosen subject. A library should have 95 percent or more of the titles from the chosen standard. For example, if the field of specialization is the entire field of entomology, then 95 percent of the journals selected by Entomology Abstracts would be expected. If it is mollusca, then the holdings should comprise 95 percent of the mollusca section of the Zoological Record. Alternately, a computer search may be run on a necessarily restricted subject such as genetic engineering or monoclonal antibodies against the Biosis data base for the last three years, where 95 percent of the works derived from such a search should be held. This level of collecting intensity would maintain a national resource collection in Biology journals. The aim, if not the achievement, is exhaustiveness.

APPENDIX E

RLG VERIFICATION STUDIES

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VERIFICATION STUDY IN FRENCH LITERATURE

Summary Statistics--Totals

Institution	Titles Held	Total Titles	Percentage	Conspectus Values	SD from Mean
Library of Congress	620	1,000	62.0%	4/4W	1.27
Berkely	619	1,000	61.9%	4/4	1.27
Yale	616	1,000	61.6%	4/4W	1.24
Princeton	603	1,000	60.3%	4/4	1.14
New York Public	597	1,000	59.7%	4W/4F	1.09
Columbia	555	1,000	55.5%	4/4F	0.76
Cornell	549	1,000	54.9%	4/4W	0.71
Michigan	523	1,000	52.3%	4/4	0.51
Iowa	502	1,000	50.2%	4/4Y	0.34
Stanford	479	1,000	47.9%	4/4Y	0.16
Pennsylvania	476	1,000	47.6%	4/4	0.14
Northwestern	457	1,000	45.7%	4/4	0.00
Johns Hopkins	416	1,000	41.6%	3/3	-0.32
Brown	400	1,000	40.0%	4/4	-0.45
Dartmouth	374	1,000	37.4%	3/3	-0.65
Davis	365	1,000	36.5%	4/4F	-0.73
Temple	346	1,000	34.6%	3/3Y	-0.88
New York University	338	1,000	33.8%	3/3F	-0.94
Brigham Young	308	1,000	30.8%	3/3W	-1.17
Penn State	307	1,000	30.7%	4/4	-1.18
Colorado State	163	1,000	16.3%	3/3	-2.32

Mean: 457.7
Standard Deviation 126.9

VERIFICATION STUDY IN RENAISSANCE & BAROQUE ART

Part I

Summary Statistics--Totals

Institution	Titles Held	Total Titles	Percentage	Conspectus Values	SD from Mean
Library of Congress	385	500	77.0%	4/4,4/4	1.37
Yale University	362	500	72.4%	4/4F,3/3F	1.10
Berkeley	361	500	72.2%	4/4,2/2	1.08
New York Public	345	500	69.0%	4/4F,3/3W	0.87
Metropolitan Museum of Art	332	500	66.4%	4/4W,3/3W	0.74
University of Michigan	324	500	64.8%	4/4,2/2	0.65
Clark Art Institute	317	500	63.4%	------	0.57
Art Institute of Chicago	315	500	63.0%	------	0.54
Cornell University	297	500	59.4%	4/4F,3/3F	0.33
New York University	292	500	58.6%	3/3F,3/3E	0.27
Cleveland Museum of Art	283	500	56.6%	4/4W,3/4W	0.16
Stanford	276	500	55.2%	4/4F,3/3F	0.08
University of Pennsylvannia	263	500	52.6%	3/3,2/3	-0.06
Johns Hopkins	259	500	51.8%	3/3F,3/2F	-0.11
Indiana University	239	500	47.8%	4W/3F,3F/3F	-0.34
Dartmouth University	216	500	43.2%	4/3,2/2	-0.61
Rutgers	169	500	33.8%	3/3,2/2	-1.17
Northwestern	128	500	25.6%	4/4,3/4	-1.65
Temple	119	500	23.8%	3/4F,2/2E	-1.76
Kimbell Art Museum	91	500	18.2%	------	-2.09

Mean: 268.6 Standard Deviation: 84.9

**Conspectus Values are drawn from the applicable line numbers (ART28-ART41), and include the global value (ART28) and the most frequently occurring second value.

VERIFICATION STUDY IN AGRICULTURAL ECONOMICS
Summary Statistics--Totals

Institution	Titles Held	Total Titles	Percentage	Conspectus Values	SD from Mean
Stanford	332	369	90%	4/4F	1.31
Library of Congress	326	369	88%	4/4W	1.17
Cornell University	321	369	87%	4/4W	1.05
UC Berkeley	315	369	85%	3/3W	0.91
Yale University	309	369	83%	4/4F	0.77
UC Davis	298	369	81%	4/4F	0.51
New York Public	294	369	80%	4/4F	0.41
Northwestern University	281	369	76%	4/4E	0.10
University of Michigan	272	369	74%	4/4W	-0.10
Brigham Young University	265	369	72%	4/4E	-0.27
University of Iowa	264	369	72%	----	-0.29
Colorado State	261	369	71%	4/4E	-0.36
New York University	252	369	68%	----	-0.57
University of Pennsylvannia	238	369	64%	4/4W	-0.90
Brown University	218	369	59%	1/2E	-1.38
Dartmouth University	177	369	48%	3/3F	-2.35

Mean: 276.4
Standard Deviation: 42.2

APPENDIX F

ALABAMA COMMISSION ON HIGHER EDUCATION
Sample Library Component Report

EVALUATION OF LIBRARY RESOURCES
UNIVERSITY OF CENTRAL ALABAMA
BACHELOR'S DEGREE PROGRAM IN MUSIC THERAPY

I. COLLECTION LEVEL

According to guidelines established for collection assessment which measure both the extent of existing library holdings and the ongoing collecting activity in subject fields in terms of academic level, bachelor's programs such as the one in music therapy are rated at the study level. This level includes a wide range of basic monographs, a selection of representative journals, and the reference materials germane to the subject.

The evaluation of the University's library collections to support the study of music therapy indicates that holdings in general not only meet, but far exceed the criteria for a study level collection at the Bachelor's level. This does not take into account the strong resources available at the System's medical library, whose geographical proximity encourages on-site use and obviates the need for access via interlibrary loan. A relatively small investment of funds will be necessary to acquire the small corpus of music therapy-specific journals and monographs in areas in which deficiencies exist.

The evaluation excluded foreign-language materials. This will have little or no impact on the proposed program since its orientation is principally professional and there will be little use for works published in languages not read by most undergraduate students. Their absence should not inconvenience music therapy faculty either, since it has been noted that researchers in the behavioral sciences tend to ignore foreign-language publications. The low incidence of foreign-language works in The Psychology of Music, edited by Diana Deutsch (N.Y.: Academic Press, 1982) (hereafter, Deutsch) and the Journal of Music Therapy either confirms this or is evidence that English is the preferred language for publication in this field.

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Alabama Commission on Higher Education

Sample Appendix Entry
Evaluation of Library Resources
University of Central Alabama
Bachelor's Degree Program in Music Therapy
Page 2

II. MONOGRAPH COLLECTION ASSESSMENT

The University libraries presently include over _____ cataloged volumes supporting the University programs of instruction and research. Organized by Library of Congress Classification, this collection includes approximately _____volumes in the area of music therapy and related fields.

Library collections needed to support the new program in music therapy fall into three major subject areas: 1) works in music theory, music history, and applied music training: 2) works in music therapy per se; 3) works in the psychology of music.

Works in Music Theory, Music History and Applied Music.

Library holdings in this area were not reviewed since course work for the new program will be identical to that for the existing Bachelor of Music degree, and the necessary library resources are already in place. Furthermore, the music collection is currently undergoing extensive development in response to a newly implemented D.M.A. program.

Works in Music Therapy and Works in the Psychology of Music.

To assess the adequacy of the existing collections in music therapy and music psychology, the University's library staff employed a technique known as citation analysis. For the present study, they checked all English language citations for books and journals (with the exception of tests, dissertations, as well as conference proceedings, because of doubts as to which of the latter had actually been published) in the five most recent issues of Journal of Music Therapy and in Deutsch, a state-of-the-art review of music psychology literature. Together, these two sources resulted in a total of 270 citations to monographic titles, and 657 citations in 208 journals. Of 54 monographs cited in the Journal of Music Therapy, the Library owns 35, or 65%. Purchase of the 11 titles still in print that are not held would boost the success rate to 85%. Of 216 monographs cited in Deutsch, 138 or 63.9% are held by the Library. The acquisition of the 35 titles still in print would raise the success rate to nearly 81%. Given the medical component of some music therapy literature, a small sample of citations was also checked against the journals received by the System's medical library.

To assess the rate of current publishing in these areas, two sources were checked. The Library of Congress Subject catalog lists only 24 English-language titles published since 1976, and 8 of these were of an ephemeral or popular nature. These findings were confirmed by a random search of the last five years of Music Index, which cited a number of music therapy publications in French and German but only a handful in English.

Related Monograph Collections

As an applied, clinical profession, music therapy draws upon the literature of a number of other disciplines: education and education research, music and music theory, audiology and acoustics, speech and hearing disorders, special education, cognitive and experimental psychology, and pure medicine. Given the University's programs in these areas, most of them at the doctoral level, there are strong supporting library collections. For example, the Library subscribes to 297 of the 314 titles covered by Education Index: those not received are not scholarly or are of peripheral interest. The basic collections in medicine of the Health Sciences Library are buttressed by the research collections of the System's major medical library readily accessible for on-site intensive research. Holdings in special education were recently reviewed in connection with College of Education accreditation and the site visitor's report commented favorably on the range and quality of the Library's collections.

Strong library collections for these disciplines, including a complete file of ERIC documents and a collection of dissertations on microfiche assembled by the University of Oregon's College of Health, Physical Education, and Recreation, resulted in a high success rate in checking citations against Library holdings.

Sample Appendix Entry
Evaluation of Library Resources
University of Central Alabama
Bachelor's Degree Program in Music Therapy
Page 4

III. SERIAL ASSESSMENT

To supplement the monograph collection the University Libraries currently subscribe to over _____ serial titles; of these, approximately _____ are directly or indirectly related to music therapy.

The Library receives 54 of the 62 titles cited in the Journal of Music Therapy, or 87%. Of the 123 backfile volumes, the Library holds 92 of them, or 75%. It is worth noting that with just the acquisition of a backfile of the Journal of Music Therapy, which accounted for 20% of the citations, the success rate would rise to 87%. It is clear that the Library receives most of the primary journals of interest to authors published in the Journal of Music Therapy, since the 8 journals to which the Library does not subscribe produced only 9 citations out of the total of 123 (7%).

The broader time span of the literature survey in Deutsch produced citations to 146 English-language journals. The Library subscribes to 97 or 66% of the total. More significantly, the Library held 425 of the 534 backfile volumes cited, a success rate of 80% owing to the fact that 49 journals, one-third of the total of 146, produced only 20% of the citations.

IV. FINANCIAL SUPPORT FOR COLLECTION DEVELOPMENT

Serials

The Library needs to place new subscriptions to 14 journals (6 in music therapy, 4 in music psychology, 2 in psychology, and 2 in acoustics) to achieve a collection of exceptionally high quality in support of the new program. The continuing cost will be $_____ per year at current prices. Some journal backfiles will need to be acquired, at a one-time cost of $_____.

Monographs

The corpus of non-journal publications limited strictly to music therapy is small. Since the Library's approval plans for new English-language monographs currently provide coverage of the other literature relevant to music therapy, acquisition of _____ purely professional publications is estimated to cost an additional $_____ per year at current prices. Thirty-nine professional society publications issued prior to 1983, mainly by the National Association for Music Therapy, are still in print. Their acquisition will be a one-time cost of $_____. As the new program develops, it may be desirable to acquire on a one-time basis, second priority monographs in physiology and music psychology, at a cost of $_____.

With the ongoing monograph and serial subscription commitments and one-time retrospective purchases of monographs and serial backfiles, the University's library collections in support of teaching and research in music therapy will achieve study level status and more, and will become an important library resource for the entire state.

V. RECOMMENDED LIBRARY EXPENDITURES

Costs:	Continuing	One-Time
New Serial Subscriptions	881.80	
Serial Backfiles		1,462.20
New Monographs	150.00	
Retrospective Monographs		585.08
Totals	$1,031.80	$2,047.25

APPENDIX G

SOURCES FOR INFORMATION ON PRICE INDEXES

American Library Association
Resources and Technical Services Division
Resources Section
Library Materials Price Index Committee

INFORMATION ON PRICE INDEXES

Price indexes provide libraries with information on average prices of certain classes of materials, as well as an index to their increase (or decrease) in price over previous years. Price indexes are useful in justifying budgets and allocating funds for library materials. This handout provides a list of those indexes which appear yearly in the Bowker Annual under the sponsorship of the ALA/RTSD/RS Library Materials Price Index Committee. Additional information about the various price indexes accompanies those indexes in the Bowker Annual. Some of the indexes are new, and others undergo changes from time to time.

U.S. HARDCOVER, MASS MARKET PAPERBACKS, AND HIGHER PRICED PAPERBACKS:

These three indexes are compiled from the citations in the Weekly Record.

U.S. PERIODICALS:

The Periodical Price Index is based on selected subscription costs of approximately 3200 American periodicals. This index also appears annually in Library Journal.

ACADEMIC BOOK PRICE INDEX:

Based on data from Baker and Taylor, Blackwell North America, and Coutts, this index appears for the first time in the 1985 Bowker Annual.

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COLLEGE BOOK PRICE INDEX:

Using the reviews from Choice for a calendar year, this index also appears for the first time in 1985, both in the Bowker Annual and in the April issue of Choice. Price data for 1983 and 1978 are provided in Choice, July/August, 1984.

BRITISH ACADEMIC BOOKS:

Based on reports published by the Center for Library And Information Management, Loughborough University. The caveats issued in the Bowker Annual about these data should be noted.

GERMAN BOOKS:

Compiled from average prices which appear in the annual issue of Buch und Buchhandel in Zahlen.

LATIN AMERICAN BOOKS:

This index gives the number of titles purchased and their average cost broken down by 24 Latin American nations. No attempt is made to index the prices, although prices are compared to the previous year.

MEMBERS OF ALA/RTSD/RS LIBRARY MATERIALS PRICE INDEX COMMITTEE:

The following individuals are currently members of the LMPIC. They would like to be kept informed of any local library materials price studies. Chairperson: Dennis E. Smith, Library Plans and Policies Division, University of California, Berkeley. Members: Dora Biblarz, Arizona State University; Mary Elizabeth Clack, Harvard College; Anne E. Foley, Chicago Public Library; Steven E. Thompson, Brown University; Richard Hume Werking, Trinity University. Consultants: Norman B. Brown, University of Illinois; Rebecca Lenzini, Faxon; Kathryn A. Soupiset, Trinity University; David B. Walch, California Polytechnic State University.

For a relatively recent bibliography, "Selected Sources of Published Library Materials Price Information," see Sally F. Williams, "Budget Justification: Closing the Gap Between Request and Result," Library Resources and Technical Services, 28 (April/June 1984), 135.

Revised March, 1985
R. H. Werking
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APPENDIX H

NETWORK OF ALABAMA ACADEMIC LIBRARIES
COLLECTION DEVELOPMENT PROGRAM

PURPOSE

The purpose of the collection development program of the Network of Alabama Academic Libraries is the enhancement of statewide library resources in support of graduate study. When funds are appropriated to the NAAL collection development program, it will have two project activities: Collection Development and Collection Enhancement.

GUIDELINES

1. NAAL funds used for collection development must be used in established graduate and first professional degree program areas recognized by the Alabama Commission on Higher Education in the ACHE Inventory of Academic Programs.

2. All material (or its surrogate) purchased with NAAL funds will be available to the other NAAL institutions through interlibrary loan.

3. Bibliographic records for all materials acquired with NAAL funds will be added to the OCLC/SOLINET database within one year of the purchase.

4. NAAL collection development funds can only be used in addition to normal financing of the library acquisitions budget and not as a substitute for such institutional funding.

5. The institution must be able to document the expenditure of NAAL funds for collection development through its institutional fund accounting system.

6. At the end of each NAAL fiscal year, the institution must file with NAAL a report of the acquisitions program and its benefit to the institution and to NAAL. This report must be filed before NAAL collection development funds can be released for the next NAAL fiscal year.

7. All institutions that receive collection development funds must participate in the NAAL resource sharing program by making all of the library resources available to other NAAL institutions without charge.

COLLECTION DEVELOPMENT

1. Collection Development represents local collection building activity intended to raise the local acquisition rate in a discipline to a level which more nearly corresponds to the level of the ACHE-recognized program it is supporting.

2. It is, in essence, a supplement to local collection funding, and is a recognition of (a) the proliferation of approved academic programs in the state, and (b) the historic under-funding of Alabama higher education.

3. Collection Development funds are to be used to support level 3 collecting intensity.

4. The Collection Development program recognizes the need for overlapping collections at level 3 and acquisitions under this program serve to distribute the state's interlibrary loan load more evenly.

5. Because Collection Development funds are intended to be used to improve local collections, eligibility for their receipt is linked to maintenance of effort. Institutions must demonstrate that local funding for materials will not diminish as a result of a NAAL Collection Development award.

6. No institution is eligible for Collection Development awards until it has certified completion of the conversion of the bibliographic records of the circulating collection to machine-readable format.

Procedures

1. Each institution must complete a collection assessment in the program area in which NAAL funds will be spent using the methodology outlined in the NAAL Collection Assessment Manual.

2. Each institution will file with NAAL an Institutional Plan for Collection Development which will describe the materials to be purchased with NAAL funds. This plan will:

   a. include the collection assessment document,

   b. identify the specific subject areas in which acquisitions will be made,

      (NAAL recognizes that funds awarded for collection development in a program area in the ACHE Inventory of Programs could be used for materials in complementary subject areas which support the program.)

   c. identify specific strengths and weaknessess,

   d. describe existing collection strength,

   e. determine desired collection strength,

   f. determine existing collecting intensity, and

   g. identify retrospective materials to be added.

3. Acquisitions approved under the NAAL Collection Development program would be used to support level 3 collecting intensity. Criteria for acquisitions under this program are:

   a. non-duplicative materials in circulating collections,

   b. unique serial backfiles,

   c. duplicative monographs in circulating collections,

   d. duplicative serial backfiles.

COLLECTION ENHANCEMENT

1. Collection Enhancement is an activity which adds new materials to the aggregate of the machine-readable holdings of the NAAL members.

2. Materials acquired under the Collection Enhancement program will be those items that are likely to be expensive, highly specialized materials, consisting of either monographs not previously existing in the circulating collections of member libraries, or unique serials backfiles.

3. Acquisitions approved under the NAAL Collection Enhancement program are to be used to support levels 4 and 5 collecting intensity. Criteria for acquisitions under this program are:

   a. non-duplicative materials in circulating collections,

   b. unique serial backfiles.

4. Eligibility to receive Collection Enhancement funds is not linked to maintenance of effort. These funds are to be used to enhance the unique research resources of the state and are to be made available to all the NAAL members.

5. Twenty percent of the funds available for the NAAL collection development program will be set aside for competitive grants under Collection Enhancement guidelines.

6. All institutions will be eligible to compete annually for the Collection Enhancement awards.* Each competing institution will file with NAAL a Collection Enhancement proposal which will describe the materials to be purchased with NAAL funds. This plan will:

   a. identify specific strengths and weaknessess,

   b. describe existing collection strength,

   c. determine desired collection strength,

   d. determine existing collecting intensity,

   e. identify retrospective materials to be added.

* The NAAL Collection Development Committee will develop procedures for competing for these grants.

Approved by the Network of Alabama Academic Libraries Advisory Council on June 16, 1987.